

ISO 20022

Investment Funds - 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 Investment Funds - Maintenance 2024 - 2025.

February 2025

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# 1 Message Set Overview

## Introduction

This document describes the Investment Funds message set. It includes the new version of the MessageDefinitions that have been added as part of the maintenance cycle 2024-2025 (See BJ#247) 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
acmt.001.001.08 AccountOpeningInstructionV08	The AccountOpeningInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.
acmt.002.001.08 AccountDetailsConfirmationV08	The AccountDetailsConfirmation message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.
acmt.003.001.08 AccountModificationInstructionV08	The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.
acmt.005.001.06 RequestForAccountManagementStatusReportV06	The RequestForAccountManagementStatusReport message is sent by an account owner, for example, an investor or its designated agent, to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to request the status of an AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction.
acmt.006.001.07 AccountManagementStatusReportV07	The AccountManagementStatusReport message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner or its designated agent, for example, an investor to report on the receipt or the processing status of a previously received account management message.
camt.040.001.04 FundEstimatedCashForecastReportV04	<p>A report provider, such as a transfer agent, sends the FundEstimatedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the estimated cash incomings and outgoings of one or more share classes of an investment fund on one or more trade dates.</p> <p>The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.</p>

MessageDefinition	Definition
camt.041.001.04 FundConfirmedCashForecastReportV04	<p>A report provider, such as a transfer agent, sends the FundConfirmedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the confirmed cash incomings and outgoings of one or more share classes of an investment fund on one or more trade dates.</p> <p>The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.</p>
camt.042.001.04 FundDetailedEstimatedCashForecastReportV04	<p>A report provider, such as a transfer agent, sends the FundDetailedEstimatedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the estimated cash incomings and outgoings, sorted by country, institution name or other criteria defined by the user of one or more share classes of an investment fund on one or more trade dates.</p> <p>The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.</p>
camt.043.001.04 FundDetailedConfirmedCashForecastReportV04	<p>A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the confirmed cash incomings and outgoings, sorted by country, institution name or other criteria defined by the user of one or more share classes of an investment fund on one or more trade dates.</p> <p>The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.</p>
camt.044.001.03 FundConfirmedCashForecastReportCancellationV03	<p>A report provider, such as a transfer agent, sends the FundConfirmedCashForecastReportCancellation message to the report user, such as an investment manager or pricing agent, to cancel a previously sent FundConfirmedCashForecastReport message.</p>
camt.045.001.03 FundDetailedConfirmedCashForecastReportCancellationV03	<p>A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReportCancellation messages to the report user, such as an investment manager, fund accountant or any other interested party, to cancel a previously sent FundDetailedConfirmedCashForecastReport.</p>
reda.001.001.04 PriceReportV04	<p>A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.</p>
reda.002.001.04 PriceReportCancellationV04	<p>A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.</p>



MessageDefinition	Definition
reda.004.001.07 FundReferenceDataReportV07	The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.
reda.005.001.03 InvestmentFundReportRequestV03	<p>The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.</p> <p>The Investment Fund Report Request message can be used to request one or many fund reference data report messages.</p>
semt.001.001.03 SecuritiesMessageRejectionV03	<p>An account servicer, for example, a registrar, transfer agent or custodian bank, sends the SecuritiesMessageRejection message to the account owner, for example, an investor 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>
semt.002.001.02 CustodyStatementOfHoldingsV02	<p>An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.</p> <p>The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.</p>
semt.003.001.02 AccountingStatementOfHoldingsV02	<p>An account servicer, for example, a transfer agent sends the AccountStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.</p>

MessageDefinition	Definition
	The message can be sent either audited or un-audited and may be provided on a trade date or settlement date basis.
semt.004.001.02 CustodyStatementOfHoldingsCancellationV02	An account servicer, for example, a transfer agent, sends the CustodyStatementOfHoldingsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent CustodyStatementOfHoldings message.
semt.005.001.02 AccountingStatementOfHoldingsCancellationV02	An account servicer, for example, a transfer agent, sends the AccountingStatementOfHoldingsCancellation message to the account owner, for example, a fund manager or an account owner's designated agent, to notify the cancellation of a previously sent AccountingStatementOfHoldings message.
semt.006.001.03 StatementOfInvestmentFundTransactionsV03	An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactions message to the account owner, for example, an investment manager or its authorised representative to provide detailed transactions (increases and decreases) of holdings which occurred during a specified period of time.
semt.007.001.03 StatementOfInvestmentFundTransactionsCancellationV03	An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactionsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent StatementOfInvestmentFundTransactions message.
sese.001.001.09 TransferOutInstructionV09	<p>The TransferOutInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party.</p> <p>This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.</p>
sese.002.001.09 TransferOutCancellationRequestV09	The TransferOutCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer out instruction.
sese.003.001.09 TransferOutConfirmationV09	
sese.004.001.09 ReversalOfTransferOutConfirmationV09	The ReversalOfTransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer out confirmation.
sese.005.001.09 TransferInInstructionV09	
sese.006.001.09	The TransferInCancellationRequest message is sent by an instructing party, for example, an investment

MessageDefinition	Definition
TransferInCancellationRequestV09	manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.
sese.007.001.09 TransferInConfirmationV09	<p>The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.</p> <p>This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.</p> <p>This message may also be used as an advice, that is, the message is used to provide account information.</p>
sese.008.001.09 ReversalOfTransferInConfirmationV09	The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.
sese.009.001.08 RequestForTransferStatusReportV08	<p>The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.</p> <p>The RequestForTransferStatusReport may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to request information relevant for the settlement of a transfer transaction.</p>
sese.010.001.07 TransferCancellationStatusReportV07	The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.
sese.011.001.09 TransferInstructionStatusReportV09	<p>The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.</p> <p>It may also be used to report the status of an event related to the asset being transferred or provide additional information.</p> <p>The TransferInstructionStatusReport message may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to provide information relevant for the settlement of a transfer transaction.</p>
sese.012.001.11 PortfolioTransferInstructionV11	The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old)

MessageDefinition	Definition
	plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).
sese.013.001.11 PortfolioTransferConfirmationV11	The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).
sese.014.001.09 PortfolioTransferCancellationRequestV09	The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.
sese.018.001.09 AccountHoldingInformationV09	The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.
sese.019.001.08 AccountHoldingInformationRequestV08	The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.
sese.043.001.01 PortfolioTransferCompletionV01	The PortfolioTransferCompletion message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm that the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee) has been completed.
setr.001.001.04 RedemptionBulkOrderV04	The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.
setr.002.001.04 RedemptionBulkOrderCancellationRequestV04	The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.
setr.003.001.04 RedemptionBulkOrderConfirmationV04	The RedemptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionBulkOrder message.
setr.004.001.04	The RedemptionOrder message is sent by an instructing party, for example, an investment manager

MessageDefinition	Definition
RedemptionOrderV04	or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.
setr.005.001.04 RedemptionOrderCancellationRequestV04	The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.
setr.006.001.05 RedemptionOrderConfirmationV05	The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.
setr.007.001.04 SubscriptionBulkOrderV04	The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.
setr.008.001.04 SubscriptionBulkOrderCancellationRequestV04	The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.
setr.009.001.04 SubscriptionBulkOrderConfirmationV04	The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.
setr.010.001.04 SubscriptionOrderV04	The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.
setr.011.001.04 SubscriptionOrderCancellationRequestV04	The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.
setr.012.001.05 SubscriptionOrderConfirmationV05	The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.
setr.013.001.04 SwitchOrderV04	The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial

MessageDefinition	Definition
	instrument or instruments for a specified amount/quantity.
setr.014.001.04 SwitchOrderCancellationRequestV04	The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.
setr.015.001.04 SwitchOrderConfirmationV04	The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a previously received SwitchOrder instruction.
setr.016.001.04 OrderInstructionStatusReportV04	The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.
setr.017.001.04 OrderCancellationStatusReportV04	The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.
setr.018.001.04 RequestForOrderStatusReportV04	The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.
setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02	The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.
setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02	The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.
setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02	The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.
setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02	The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised

MessageDefinition	Definition
	representative, to cancel a previously sent RedemptionBulkOrderConfirmation.
setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02	The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.
setr.057.001.02 OrderConfirmationStatusReportV02	The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to report the status of an order confirmation or an order confirmation amendment.
setr.058.001.02 RequestForOrderConfirmationStatusReportV02	The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.

## 2 **acmt.001.001.08** **AccountOpeningInstructionV08**

### 2.1 **MessageDefinition Functionality**

#### Scope

The AccountOpeningInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.

#### Usage

The AccountOpeningInstruction is used to open an account directly or indirectly with the account servicer or an intermediary.

In some markets, for example, Australia, and for some products in the United Kingdom, a first order (also known as a deposit instruction) is placed at the same time as the account opening. To cater for this scenario, an order message can be linked (via references in the message) to the AccountOpeningInstruction message when needed.

Execution of the AccountOpeningInstruction is confirmed via an AccountDetailsConfirmation message.

#### Outline

The AccountOpeningInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. OrderReference

Identifies a related order or settlement transaction.

C. PreviousReference

Reference to a linked message that was previously sent.

D. InstructionDetails

Information about the opening instruction.

E. InvestmentAccount

Detailed information about the account to be opened.

F. AccountParties

Information related to parties that are related to the account, for example, primary account owner.

G. Intermediaries

Intermediary or other party related to the management of the account.

H. Placement

Referral information.



I. NewIssueAllocation

Eligibility conditions applicable when there is an allocation of new issues for hedge fund account opening.

J. SavingsInvestmentPlan

Plan that allows individuals to set aside a fixed amount of money at specified intervals, usually for a special purpose, for example, retirement.

K. WithdrawalInvestmentPlan

Plan through which holdings are depleted through regular withdrawals at specified intervals.

L. CashSettlement

Cash settlement standing instruction associated to transactions on the account.

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

Additional information such as remarks or notes that must be conveyed about the account management activity and or any limitations and restrictions.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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> <AcctOpngInstr>	[1..1]		C14, C24	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		25
	<b>OrderReference</b> <OrdRef>	[0..1]	±		25
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		25
	<b>InstructionDetails</b> <InstrDtls>	[1..1]			25
	<b>OpeningType</b> <OpngTp>	[1..1]	±		26
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		26
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		26
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		26
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		27
	<b>InvestmentAccount</b> <InvstmtAcct>	[1..1]	±	C13, C23, C9	27
	<b>AccountParties</b> <AcctPties>	[1..1]	±		29
	<b>Intermediaries</b> <Intrmies>	[0..*]	±		30
	<b>Placement</b> <Plcmnt>	[0..1]	±	C22	31
	<b>NewIssueAllocation</b> <NewIssseAllcn>	[0..1]	±		31
	<b>SavingsInvestmentPlan</b> <SvgsInvstmtPlan>	[0..50]	±	C3	32
	<b>WithdrawalInvestmentPlan</b> <WdrwlInvstmtPlan>	[0..10]	±	C3	33
	<b>CashSettlement</b> <CshSttlm>	[0..8]	±		34
	<b>ServiceLevelAgreement</b> <SvcLvlAgrmt>	[0..30]	±		35
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		36
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		36
	<b>Extension</b> <Xtnsn>	[0..*]	±	C8	37

## 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 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

**C4 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.

**C5 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.

**C6 Country**

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

**C7 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C8 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C9 FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

**C10 HoldingCertificateNumberRule**

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

**C11 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C12 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C13 IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

**C14 InvestmentAccountIdentificationRule**

If InstructionDetails/OpeningType/Code is SUPA (SupplementaryAccountOpening), then InvestmentAccount/Identification must be present and must contain the identification of the main account to which the supplementary account is related.

*This constraint is defined at the MessageDefinition level.*

**C15 MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

**C16 OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

**C17 OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

**C18 PartialHoldingUnits1Rule**

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

**C19 PartialHoldingUnits2Rule**

If BlockHolding is PPTH (PartialHolding) then PartialHoldingUnits is mandatory.

**C20 PartialHoldingUnits3Rule**

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

**C21 PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

**C22 ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

**C23 ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

**C24 UnitRule**

If SavingsInvestmentPlan is present, then SavingsInvestmentPlan/Quantity/Unit is not allowed.

On Condition

/SavingsInvestmentPlan[\*] is present

Following Must be True

/SavingsInvestmentPlan[\*]/Quantity/Unit Must be absent

*This constraint is defined at the MessageDefinition level.*

**C25 ValidationByTable**

Must be a valid terrestrial language.

**C26 ValidationByTable**

Must be a valid nationality.

## 2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 2.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 2.4.2 OrderReference <OrdRef>

*Presence:* [0..1]

*Definition:* Identifies a related order or settlement transaction.

**OrderReference <OrdRef>** contains the following elements (see "[InvestmentFundOrder4](#)" on page 1789 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1789
	MasterReference <MstrRef>	[0..1]	Text		1789

### 2.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference13](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

### 2.4.4 InstructionDetails <InstrDtls>

*Presence:* [1..1]

*Definition:* Information about the opening instruction.

**InstructionDetails <InstrDtls>** contains the following **InvestmentAccountOpening4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningType</b> <OpngTp>	[1..1]	±		26
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		26
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		26
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		26
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		27

#### 2.4.4.1 OpeningType <OpngTp>

*Presence:* [1..1]

*Definition:* Specifies if the account opening instruction is about a newly created account or a supplementary account.

**OpeningType <OpngTp>** contains one of the following elements (see "[AccountOpeningType1Choice](#)" on page 1285 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1285
Or}	Proprietary <Prtry>	[1..1]	±		1286

#### 2.4.4.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier of the account opening request at application level.

*Datatype:* "[Max35Text](#)" on page 2837

#### 2.4.4.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a transaction, for example, a transfer, as assigned by the investor or account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 2.4.4.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction, for example, a transfer, as allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

#### 2.4.4.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

*Definition:* Account to which the account opening is related.

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

#### 2.4.5 InvestmentAccount <InvstmtAcct>

*Presence:* [1..1]

*Definition:* Detailed information about the account to be opened.

*Impacted by:* [C13 "IncomePreferenceReinvestment1Rule"](#), [C23 "ReinvestmentPercentage1Rule"](#), [C9 "FinancialInstrumentDetailsGuideline"](#)

**InvestmentAccount <InvstmtAcct>** contains the following elements (see "InvestmentAccount73" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1657
	Name <Nm>	[0..1]	Text		1657
	Designation <Dsgnt>	[0..1]	Text		1657
	Type <Tp>	[0..1]	±		1658
	OwnershipType <OwnrshTp>	[1..1]	±		1658
	TaxExemption <TaxXmptn>	[0..1]	±		1658
	StatementFrequency <StmtFrqcy>	[0..1]	±		1658
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1659
	Language <Lang>	[0..1]	CodeSet	C34	1659
	IncomePreference <IncmPref>	[0..1]	CodeSet		1659
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1659
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1660
	TaxReporting <TaxRptg>	[0..*]	±		1660
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1661
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1662
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1662
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1662
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1662
	RoundingDetails <RndgDtls>	[0..1]	±		1663
	AccountServicer <AcctSvcr>	[0..1]	±		1664
	BlockedStatus <BlckdSts>	[0..1]	±		1664
	AccountUsageType <AcctUsgTp>	[0..1]	±		1665
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1665
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1665
	TransactionChannelType <TxChanITp>	[0..1]	±		1665
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1665
	Pledging <Pldgg>	[0..1]	CodeSet		1666
	Collateral <Coll>	[0..1]	CodeSet		1666
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1666
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		1667



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountingStatus <AcctgSts>	[0..1]	±		1667
	OpeningDate <OpngDt>	[0..1]	±		1667
	ClosingDate <ClsgDt>	[0..1]	±		1667
	NegativeIndicator <NegInd>	[0..1]	Indicator		1668
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1668
	Liability <Lbilty>	[0..1]	±		1668
	InvestorProfile <InvstrPrfl>	[0..*]	±		1668
	FiscalYear <Fsclyr>	[0..1]	±		1669

### Constraints

- **FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition  
 /IncomePreference is equal to value 'Cash'  
 Following Must be True  
 /ReinvestmentDetails[\*] Must be absent

- **ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

## 2.4.6 AccountParties <AcctPties>

*Presence:* [1..1]

*Definition:* Information related to parties that are related to the account, for example, primary account owner.

**AccountParties <AcctPties>** contains the following elements (see "AccountParties17" on page 1992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1993
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1993
Or	Trustee <Trstee>	[1..5]	±		1995
Or	Nominee <Nmnee>	[1..1]	±		1997
Or}	JointOwner <JntOwnr>	[1..5]	±		1999
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2001
	Beneficiary <Bnfcry>	[0..*]	±		2003
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2005
	LegalGuardian <LglGuardn>	[0..*]	±		2007
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2009
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2011
	Administrator <Admstr>	[0..*]	±		2013
	OtherParty <OthrPty>	[0..*]	±		2015
	Granter <Grntr>	[0..*]	±		2015
	Settlor <Sttlr>	[0..*]	±		2017
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2019
	Protector <Prctcr>	[0..*]	±		2021
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2023

## 2.4.7 Intermediaries <Intrmies>

*Presence:* [0..\*]

*Definition:* Intermediary or other party related to the management of the account.

**Intermediaries <Intrmies>** contains the following elements (see "Intermediary46" on page 2096 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2096
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2097
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2097
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2097
	Account <Acct>	[0..1]			2097
	Identification <Id>	[0..1]	Text		2098
	AccountServicer <AcctSvcr>	[1..1]	±		2098
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2098
	Role <Role>	[0..1]	±		2098
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2098
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2099
	NameAndAddress <NmAndAdr>	[0..1]	±		2099

## 2.4.8 Placement <Plcmnt>

*Presence:* [0..1]

*Definition:* Referral information.

*Impacted by:* C22 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2101
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2101

### Constraints

- ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

## 2.4.9 NewIssueAllocation <NewIsseAllcn>

*Presence:* [0..1]

*Definition:* Eligibility conditions applicable when there is an allocation of new issues for hedge fund account opening.

**NewIssueAllocation <NewIsseAllcn>** contains the following elements (see ["NewIssueAllocation2"](#) on page 1871 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1871
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1871
	DeMinimus <DeMnms>	[0..1]	±		1871

## 2.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

*Presence:* [0..50]

*Definition:* Plan that allows individuals to set aside a fixed amount of money at specified intervals, usually for a special purpose, for example, retirement.

*Impacted by:* [C3 "AmountRule"](#)

**SavingsInvestmentPlan <SvgsInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1844
	StartDate <StartDt>	[0..1]	Date		1844
	EndDate <EndDt>	[0..1]	Date		1844
	Quantity <Qty>	[1..1]	±		1844
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1844
	IncomePreference <IncmPref>	[0..1]	CodeSet		1845
	InitialAmount <InitlAmt>	[0..1]	±		1845
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1845
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1845
	SecurityDetails <SctyDtls>	[1..50]			1846
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847
	CashSettlement <CshSttlm>	[0..8]	±		1848
	ContractReference <CtrctRef>	[0..1]	Text		1848
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1849
	ProductIdentification <PdctId>	[0..1]	Text		1849
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1849
	InsuranceCover <InsrncCover>	[0..1]	±		1849
	PlanStatus <PlanSts>	[0..1]	±		1849
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1850

#### Constraints

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

## 2.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

*Presence:* [0..10]

*Definition:* Plan through which holdings are depleted through regular withdrawals at specified intervals.

Impacted by: C3 "AmountRule"

**WithdrawalInvestmentPlan <WdrwlInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1844
	StartDate <StartDt>	[0..1]	Date		1844
	EndDate <EndDt>	[0..1]	Date		1844
	Quantity <Qty>	[1..1]	±		1844
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1844
	IncomePreference <IncmPref>	[0..1]	CodeSet		1845
	InitialAmount <InitlAmt>	[0..1]	±		1845
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1845
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1845
	SecurityDetails <SctyDtls>	[1..50]			1846
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847
	CashSettlement <CshSttlm>	[0..8]	±		1848
	ContractReference <CtrctRef>	[0..1]	Text		1848
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1849
	ProductIdentification <PdctId>	[0..1]	Text		1849
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1849
	InsuranceCover <InsrncCover>	[0..1]	±		1849
	PlanStatus <PlanSts>	[0..1]	±		1849
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1850

#### Constraints

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

## 2.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

*Definition:* Cash settlement standing instruction associated to transactions on the account.

**CashSettlement <CshSttlm>** contains the following elements (see "CashSettlement3" on page 2462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2463
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2464
	Identification <Id>	[1..1]	±		2464
	AccountOwner <AcctOwnr>	[0..1]	±		2465
	AccountServicer <AcctSvcr>	[0..1]	±		2465
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2465
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2466
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2466
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2466
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2467
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountPurpose <CshAcctPurp>	[0..1]			2468
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2469
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469
	DividendPercentage <DvddPctg>	[0..1]	Rate		2469
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2470

## 2.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

*Presence:* [0..30]

*Definition:* Identifies documents to be provided for the account opening.

**ServiceLevelAgreement <SvcLvlAgrmt>** contains the following elements (see "[DocumentToSend4](#)" on page 2403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2403
	Recipient <Rcpt>	[1..1]	±		2403
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2404
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2404

## 2.4.14 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the account management activity and or any limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditiononallInformation13](#)" on page 1919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

## 2.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.



**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 2.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C8 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 3 **acmt.002.001.08** **AccountDetailsConfirmationV08**

### 3.1 **MessageDefinition Functionality**

#### Scope

The AccountDetailsConfirmation message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.

#### Usage

The AccountDetailsConfirmation message is used to confirm the opening of an account, modification of an account or the provision of information requested in a previously sent GetAccountDetails message. The message contains detailed information relevant to the opened account.

When the AccountDetailsConfirmation is used to confirm execution of an AccountModificationInstruction message, it may:

- contain the modified subsets of account details that were specified in the AccountModificationInstruction, and/or
- provide the status of the account.

When the AccountModificationInstruction message is used to instruct the closure of an account, the AccountDetailsConfirmation message is used to confirm the account has been closed.

When the AccountDetailsConfirmation is used to reply to a GetAccountDetails message, it returns the selected subsets of account details that were specified in the GetAccountDetails message.

#### Outline

The AccountDetailsConfirmationV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. OrderReference  
Identifies a related order or settlement transaction.
- C. RelatedReference  
Reference to a linked message that was previously received.
- D. ConfirmationDetails  
Information about the request or instruction which triggered this confirmation.
- E. InvestmentAccount  
Confirmation of the information related to the investment account.
- F. AccountParties

Confirmation of information related to parties that are related to the account, for example, primary account owner.

G. Intermediaries

Confirmation of an intermediary or other party related to the management of the account.

H. Placement

Confirmation of referral information.

I. NewIssueAllocation

Confirmation of eligibility conditions applicable when there is an allocation of new issues for hedge fund account opening.

J. SavingsInvestmentPlan

Confirmation of the information related to a savings plan that is related to the account.

K. WithdrawalInvestmentPlan

Confirmation of the information related to a withdrawal plan that is related to the account.

L. CashSettlement

Confirmation of a cash settlement standing instruction associated to transactions on the account.

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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> <AcctDtlsConf>	[1..1]		C22, C33	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		43
	<b>OrderReference</b> <OrdRef>	[0..1]	±		43
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		44
	<b>ConfirmationDetails</b> <ConfDtls>	[1..1]			44
	<b>ConfirmationType</b> <ConfTp>	[1..1]	±		44
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		45
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		45
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		45
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		45
	<b>InvestmentAccount</b> <InvstmtAcct>	[0..1]	±	C21, C31, C17	46
	<b>AccountParties</b> <AcctPties>	[0..1]	±		48
	<b>Intermediaries</b> <Intrmies>	[0..*]	±		49
	<b>Placement</b> <Plcmnt>	[0..1]	±	C30	50
	<b>NewIssueAllocation</b> <NewIsseAllcn>	[0..1]	±		50
	<b>SavingsInvestmentPlan</b> <SvgsInvstmtPlan>	[0..50]	±	C3	51
	<b>WithdrawalInvestmentPlan</b> <WdrwlInvstmtPlan>	[0..10]	±	C3	52
	<b>CashSettlement</b> <CshSttlm>	[0..8]	±		53
	<b>ServiceLevelAgreement</b> <SvcLvlAgrmt>	[0..30]	±		54
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		55
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		55
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	56

## 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 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

**C4 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.

**C5 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.

**C6 ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

**C7 ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

**C8 ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

**C9 ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

**C10 ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

**C11 ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

**C12 Country**

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

**C13 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C14 EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

**C15 EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

**C16 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C17 FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

**C18 HoldingCertificateNumberRule**

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

**C19 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C20 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C21 IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

**C22 InvestmentAccountRule**

If ConfirmationDetails/ConfirmationType/Code is ACCO (AccountOpening), then InvestmentAccount must be present.

*This constraint is defined at the MessageDefinition level.*

**C23 MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

**C24 OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

**C25 OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

**C26 PartialHoldingUnits1Rule**

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

**C27 PartialHoldingUnits2Rule**

If BlockHolding is PRTH (PartialHolding) then PartialHoldingUnits is mandatory.

**C28 PartialHoldingUnits3Rule**

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

**C29 PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

**C30 ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

**C31 ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

**C32 StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

**C33 UnitRule**

If SavingsInvestmentPlan is present, then SavingsInvestmentPlan/Quantity/Unit is not allowed.

On Condition

/SavingsInvestmentPlan[\*] is present

Following Must be True

/SavingsInvestmentPlan[\*]/Quantity/Unit Must be absent

*This constraint is defined at the MessageDefinition level.*

**C34 ValidationByTable**

Must be a valid terrestrial language.

**C35 ValidationByTable**

Must be a valid nationality.

## 3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 3.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 3.4.2 OrderReference <OrdRef>

*Presence:* [0..1]

*Definition:* Identifies a related order or settlement transaction.

**OrderReference <OrdRef>** contains the following elements (see "[InvestmentFundOrder4](#)" on page 1789 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1789
	MasterReference <MstrRef>	[0..1]	Text		1789

### 3.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference13](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

### 3.4.4 ConfirmationDetails <ConfDtls>

*Presence:* [1..1]

*Definition:* Information about the request or instruction which triggered this confirmation.

**ConfirmationDetails <ConfDtls>** contains the following **AccountManagementConfirmation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ConfirmationType &lt;ConfTp&gt;</b>	[1..1]	±		44
	<b>AccountApplicationIdentification &lt;AcctAppId&gt;</b>	[0..1]	Text		45
	<b>ClientReference &lt;ClntRef&gt;</b>	[0..1]	Text		45
	<b>CounterpartyReference &lt;CtrPtyRef&gt;</b>	[0..1]	±		45
	<b>ExistingAccountIdentification &lt;ExstgAcctId&gt;</b>	[0..*]	±		45

#### 3.4.4.1 ConfirmationType <ConfTp>

*Presence:* [1..1]

*Definition:* Specifies the confirmation type.



**ConfirmationType <ConfTp>** contains one of the following elements (see "[ConfirmationType1Choice](#)" on page 1284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1285
Or}	Proprietary <Prtry>	[1..1]	±		1285

### 3.4.4.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier of the account opening or modification instruction at application level.

*Datatype:* "[Max35Text](#)" on page 2837

### 3.4.4.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a transaction, for example, a transfer, as assigned by the investor or account owner.

*Datatype:* "[Max35Text](#)" on page 2837

### 3.4.4.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction, for example, a transfer, as allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference13](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

### 3.4.4.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

*Definition:* Account to which the account opening is related.

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see "[Account23](#)" on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

### 3.4.5 InvestmentAccount <InvstmtAcct>

*Presence:* [0..1]

*Definition:* Confirmation of the information related to the investment account.

*Impacted by:* C21 "IncomePreferenceReinvestment1Rule", C31 "ReinvestmentPercentage1Rule", C17 "FinancialInstrumentDetailsGuideline"

**InvestmentAccount <InvstmtAcct>** contains the following elements (see "InvestmentAccount74" on page 1582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1584
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	1584
	BlockedStatus <BlckdSts>	[0..1]	±		1586
	StatusDate <StsDt>	[0..1]	±		1586
	Name <Nm>	[0..1]	Text		1587
	Designation <Dsgnt>	[0..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	OwnershipType <OwnrshTp>	[0..1]	±		1587
	TaxExemption <TaxXmptn>	[0..1]	±		1588
	StatementFrequency <StmtFrqcy>	[0..1]	±		1588
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1588
	Language <Lang>	[0..1]	CodeSet	C34	1588
	IncomePreference <IncmPref>	[0..1]	CodeSet		1589
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1589
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1589
	TaxReporting <TaxRptg>	[0..*]	±		1590
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1591
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1592
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1592
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1592
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1592
	RoundingDetails <RndgDtls>	[0..1]	±		1593
	AccountServicer <AcctSvcr>	[0..1]	±		1594
	AccountUsageType <AcctUsgTp>	[0..1]	±		1594
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1594
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1594
	TransactionChannelType <TxChanITp>	[0..1]	±		1595

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1595
	Pledging <Pldgg>	[0..1]	CodeSet		1595
	Collateral <Coll>	[0..1]	CodeSet		1595
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1596
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		1596
	AccountingStatus <AcctgSts>	[0..1]	±		1596
	OpeningDate <OpngDt>	[0..1]	±		1597
	ClosingDate <ClsgDt>	[0..1]	±		1597
	NegativeIndicator <NegInd>	[0..1]	Indicator		1597
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1597
	Liability <Lbilty>	[0..1]	±		1597
	InvestorProfile <InvstrPrfl>	[0..*]	±		1598
	FiscalYear <FscYr>	[0..1]	±		1599

#### Constraints

- **FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition

/IncomePreference is equal to value 'Cash'

Following Must be True

/ReinvestmentDetails[\*] Must be absent

- **ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

### 3.4.6 AccountParties <AcctPties>

*Presence:* [0..1]

*Definition:* Confirmation of information related to parties that are related to the account, for example, primary account owner.

**AccountParties <AcctPties>** contains the following elements (see "AccountParties17" on page 1992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1993
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1993
Or	Trustee <Trstee>	[1..5]	±		1995
Or	Nominee <Nmnee>	[1..1]	±		1997
Or}	JointOwner <JntOwnr>	[1..5]	±		1999
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2001
	Beneficiary <Bnfcry>	[0..*]	±		2003
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2005
	LegalGuardian <LglGuardn>	[0..*]	±		2007
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2009
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2011
	Administrator <Admstr>	[0..*]	±		2013
	OtherParty <OthrPty>	[0..*]	±		2015
	Granter <Grntr>	[0..*]	±		2015
	Settlor <Sttlr>	[0..*]	±		2017
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2019
	Protector <Prctcr>	[0..*]	±		2021
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2023

### 3.4.7 Intermediaries <Intrmies>

*Presence:* [0..\*]

*Definition:* Confirmation of an intermediary or other party related to the management of the account.

**Intermediaries <Intrmies>** contains the following elements (see "Intermediary46" on page 2096 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2096
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2097
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2097
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2097
	Account <Acct>	[0..1]			2097
	Identification <Id>	[0..1]	Text		2098
	AccountServicer <AcctSvcr>	[1..1]	±		2098
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2098
	Role <Role>	[0..1]	±		2098
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2098
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2099
	NameAndAddress <NmAndAdr>	[0..1]	±		2099

### 3.4.8 Placement <Plcmnt>

*Presence:* [0..1]

*Definition:* Confirmation of referral information.

*Impacted by:* C30 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2101
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2101

#### Constraints

- **ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

### 3.4.9 NewIssueAllocation <NewIsseAllcn>

*Presence:* [0..1]

*Definition:* Confirmation of eligibility conditions applicable when there is an allocation of new issues for hedge fund account opening.

**NewIssueAllocation <NewIsseAllcn>** contains the following elements (see "[NewIssueAllocation2](#)" on page 1871 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1871
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1871
	DeMinimus <DeMnms>	[0..1]	±		1871

### 3.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

*Presence:* [0..50]

*Definition:* Confirmation of the information related to a savings plan that is related to the account.

*Impacted by:* [C3 "AmountRule"](#)

**SavingsInvestmentPlan <SvgsInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1844
	StartDate <StartDt>	[0..1]	Date		1844
	EndDate <EndDt>	[0..1]	Date		1844
	Quantity <Qty>	[1..1]	±		1844
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1844
	IncomePreference <IncmPref>	[0..1]	CodeSet		1845
	InitialAmount <InitlAmt>	[0..1]	±		1845
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1845
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1845
	SecurityDetails <SctyDtls>	[1..50]			1846
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847
	CashSettlement <CshSttlm>	[0..8]	±		1848
	ContractReference <CtrctRef>	[0..1]	Text		1848
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1849
	ProductIdentification <PdctId>	[0..1]	Text		1849
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1849
	InsuranceCover <InsrncCover>	[0..1]	±		1849
	PlanStatus <PlanSts>	[0..1]	±		1849
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1850

#### Constraints

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

### 3.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

*Presence:* [0..10]

*Definition:* Confirmation of the information related to a withdrawal plan that is related to the account.



Impacted by: C3 "AmountRule"

**WithdrawalInvestmentPlan <WdrwlInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1843 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1844
	StartDate <StartDt>	[0..1]	Date		1844
	EndDate <EndDt>	[0..1]	Date		1844
	Quantity <Qty>	[1..1]	±		1844
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1844
	IncomePreference <IncmPref>	[0..1]	CodeSet		1845
	InitialAmount <InitlAmt>	[0..1]	±		1845
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1845
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1845
	SecurityDetails <SctyDtls>	[1..50]			1846
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847
	CashSettlement <CshSttlm>	[0..8]	±		1848
	ContractReference <CtrctRef>	[0..1]	Text		1848
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1849
	ProductIdentification <PdctId>	[0..1]	Text		1849
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1849
	InsuranceCover <InsrncCover>	[0..1]	±		1849
	PlanStatus <PlanSts>	[0..1]	±		1849
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1850

#### Constraints

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

### 3.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

**Definition:** Confirmation of a cash settlement standing instruction associated to transactions on the account.

**CashSettlement <CshSttlm>** contains the following elements (see "CashSettlement3" on page 2462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2463
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2464
	Identification <Id>	[1..1]	±		2464
	AccountOwner <AcctOwnr>	[0..1]	±		2465
	AccountServicer <AcctSvcr>	[0..1]	±		2465
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2465
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2466
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2466
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2466
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2467
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountPurpose <CshAcctPurp>	[0..1]			2468
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2469
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469
	DividendPercentage <DvddPctg>	[0..1]	Rate		2469
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2470

### 3.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

**Presence:** [0..30]

**Definition:** Identifies documents to be provided for the account opening.

**ServiceLevelAgreement <SvcLvlAgrmt>** contains the following elements (see "[DocumentToSend4](#)" on page 2403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2403
	Recipient <Rcpt>	[1..1]	±		2403
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2404
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2404

### 3.4.14 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditiononallInformation13](#)" on page 1919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

### 3.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 3.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 4 **acmt.003.001.08**

# **AccountModificationInstructionV08**

### 4.1 **MessageDefinition Functionality**

#### Scope

The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.

#### Usage

The AccountModificationInstruction message is used to modify the details of an existing account.

The AccountModificationInstruction message can be used to:

- maintain/update any of the existing account details, for example, to update the address of the beneficiary or modify the preference to income from distribution to capitalisation, or,
- add/create specific details to the existing account when these details were not yet recorded at the time of account creation, for example, to add a second address or to establish new cash settlement standing instructions, or,
- delete specific account details, for example, delete cash standing instructions, or,
- instruct a change to the status of the account, for example, instruct the closure of the account.

The usage of this message may be subject to service level agreement (SLA) between the counterparties.

Execution of the AccountModificationInstruction is confirmed via an AccountDetailsConfirmation message.

#### Outline

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

##### B. PreviousReference

Reference to a linked message that was previously sent.

##### C. InstructionDetails

Information about the modification instruction.

##### D. InvestmentAccountSelection

Identifies the account for which the information is modified.

##### E. ModifiedInvestmentAccount

Information related to general characteristics of the account to be inserted, updated or deleted.

F. ModifiedAccountParties

Information related to an account party to be inserted, updated or deleted.

G. ModifiedIntermediaries

Information related to intermediaries to be inserted, updated or deleted.

H. ModifiedPlacement

Information related to referral information to be inserted, updated or deleted.

I. ModifiedIssueAllocation

Eligibility conditions related to allocation of new issues to be inserted, updated or deleted.

J. ModifiedSavingsInvestmentPlan

Information related to a savings plan to be inserted, updated or deleted.

K. ModifiedWithdrawalInvestmentPlan

Information related to a withdrawal plan to be inserted, updated or deleted.

L. ModifiedCashSettlement

Cash settlement standing instruction to be either inserted or deleted.

M. ModifiedServiceLevelAgreement

Information related to documents to be added, deleted or updated.

N. ModifiedAdditionalInformation

Information related to additional information to be added, deleted or updated.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

## 4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctModInstr>	[1..1]		C30	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		63
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		63
	<b>InstructionDetails</b> <InstrDtls>	[0..1]		C18	63
	<b>ModificationReason</b> <ModRsn>	[0..1]	Text		64
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		64
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		64
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		64
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		65
	<b>InvestmentAccountSelection</b> <InvstmtAcctSelctn>	[1..1]			65
{Or	<b>AccountIdentification</b> <AcctId>	[1..1]	Text		65
Or}	<b>OtherAccountSelectionData</b> <OthrAcctSelctnData>	[1..1]	±	C1	65
	<b>ModifiedInvestmentAccount</b> <ModfdInvstmtAcct>	[0..1]	±	C2, C17, C29, C12	66
	<b>ModifiedAccountParties</b> <ModfdAcctPties>	[0..*]	±	C5	69
	<b>ModifiedIntermediaries</b> <ModfdIntrmies>	[0..*]	±		70
	<b>ModifiedPlacement</b> <ModfdPlcmnt>	[0..1]	±		70
	<b>ModifiedIssueAllocation</b> <ModfdIsseAllcn>	[0..1]	±		71
	<b>ModifiedSavingsInvestmentPlan</b> <ModfdSvgsInvstmtPlan>	[0..50]	±		71
	<b>ModifiedWithdrawalInvestmentPlan</b> <ModfdWdrwlInvstmtPlan>	[0..10]	±		72
	<b>ModifiedCashSettlement</b> <ModfdCshSttlm>	[0..8]	±		73
	<b>ModifiedServiceLevelAgreement</b> <ModfdSvcLvIAgrmt>	[0..30]	±		74
	<b>ModifiedAdditionalInformation</b> <ModfdAddtlInf>	[0..*]	±		75
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		75
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	75

## 4.3 Constraints

### C1 AccountDataElementRule

One of the elements (Name, Designation, FundType, FundFamilyName, SecurityDetails, AccountOwner, Intermediary, Account Servicer) must be present.

**C2 AccountElementRule**

One of the elements (AccountStatusUpdateInstruction, Name, Designation, Type, OwnershipType, TaxExemption, StatementFrequency, ReferenceCurrency, Language, IncomePreference, ReinvestmentDetails, TaxWithholdingMethod, TaxReporting, LetterIntentDetails, AccumulationRightReference, RequiredSignatoriesNumber, FundFamilyName, ModifiedFinancialInstrumentDetails, RoundingDetails, Account Servicer, BlockedStatus, AccountUsageType, ForeignStatusCertification, AccountSignatureDateTime, TransactionChannelType, InvestmentAccountCategory, Pledging, Collateral, ThirdPartyRights, PowerOfAttorneyLevelOfControl, AccountingStatus, OpeningDate, ClosingDate, NegativeIndicator, ProcessingOrder, Liability, ModifiedInvestorProfile, FiscalYear) must be present.

**C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AddressRule**

If ModificationScopeIndication is INSE (InsertNewDataSet), then one of the following must be present:

PrincipalAccountParty/./Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

CustodianForMinor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

SecondaryOwner/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Beneficiary/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

PowerOfAttorney/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

LegalGuardian/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

SuccessorOnDeath/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Administrator/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

OtherParty/OtherPartyDetails/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)



Granter/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Settlor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SeniorManagingOfficial/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Protector/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet).

**C6 AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

**C7 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.

**C8 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.

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentDetailsGuideline**

ModifiedFinancialInstrumentDetails/FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

**C13 HoldingCertificateNumberRule**

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

**C14 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C15 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C17 IncomePreferenceReinvestmentRule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

**C18 InstructionDetailsElementRule**

One of the elements (ModificationReason, AccountApplicationIdentification, ClientReference, CounterpartyReference, ExistingAccountIdentification) must be present.

**C19 MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

**C20 OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

**C21 OrganisationIdentificationRule**

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

**C22 OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

**C23 PartialHoldingUnits1Rule**

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

**C24 PartialHoldingUnits2Rule**

If BlockHolding is PPTH (PartialHolding) then PartialHoldingUnits is mandatory.

**C25 PartialHoldingUnits3Rule**

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

**C26 PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

**C27 ReasonElementRule**

Either Code or AdditionalInformation must be present. Both may be present.

**C28 ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

**C29 ReinvestmentPercentageRule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

**C30 UnitRule**

If ModifiedSavingsInvestmentPlan is present, then ModifiedSavingsInvestmentPlan/InvestmentPlan/Quantity/Unit is not allowed.

On Condition

/ModifiedSavingsInvestmentPlan[\*] is present

Following Must be True

/ModifiedSavingsInvestmentPlan[\*]/InvestmentPlan/Quantity/Unit Must be absent

*This constraint is defined at the MessageDefinition level.*

**C31 ValidationByTable**

Must be a valid terrestrial language.

**C32 ValidationByTable**

Must be a valid nationality.

## 4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 4.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see ["MessageIdentification1"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 4.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

### 4.4.3 InstructionDetails <InstrDtls>

*Presence:* [0..1]

*Definition:* Information about the modification instruction.

*Impacted by:* C18 "InstructionDetailsElementRule"

**InstructionDetails <InstrDtls>** contains the following **InvestmentAccountModification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ModificationReason</b> <ModRsn>	[0..1]	Text		64
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		64
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		64
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		64
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		65

#### Constraints

- **InstructionDetailsElementRule**

One of the elements (ModificationReason, AccountApplicationIdentification, ClientReference, CounterpartyReference, ExistingAccountIdentification) must be present.

#### 4.4.3.1 ModificationReason <ModRsn>

*Presence:* [0..1]

*Definition:* Reason for the modification to the investment account information.

*Datatype:* "Max350Text" on page 2837

#### 4.4.3.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier of the account modification request.

*Datatype:* "Max35Text" on page 2837

#### 4.4.3.3 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of a transfer.

*Datatype:* "Max35Text" on page 2837

#### 4.4.3.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction, for example, a transfer, as allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

#### 4.4.3.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

*Definition:* Account to which the account opening is related.

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

### 4.4.4 InvestmentAccountSelection <InvstmtAcctSelctn>

*Presence:* [1..1]

*Definition:* Identifies the account for which the information is modified.

**InvestmentAccountSelection <InvstmtAcctSelctn>** contains one of the following **AccountSelection3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AccountIdentification</b> <AcctId>	[1..1]	Text		65
Or}	<b>OtherAccountSelectionData</b> <OthrAcctSelctnData>	[1..1]	±	C1	65

#### 4.4.4.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2837

#### 4.4.4.2 OtherAccountSelectionData <OthrAcctSelctnData>

*Presence:* [1..1]

*Definition:* Various investment account information used to select a specific account.

*Impacted by:* [C1 "AccountDataElementRule"](#)

**OtherAccountSelectionData <OthrAcctSelctnData>** contains the following elements (see "InvestmentAccount76" on page 1670 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1671
	Designation <Dsgnt>	[0..1]	Text		1671
	FundType <FndTp>	[0..1]	Text		1671
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1671
	SecurityDetails <SctyDtls>	[0..1]		C15	1671
	Identification <Id>	[1..1]	±		1672
	Name <Nm>	[0..1]	Text		1673
	ShortName <ShrtNm>	[0..1]	Text		1673
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1673
	ClassType <ClsTp>	[0..1]	Text		1674
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1674
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1674
	ProductGroup <PdctGrp>	[0..1]	Text		1674
	AccountOwner <AcctOwnr>	[0..1]			1674
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1675
{Or	IdentificationNumber <IdNb>	[1..1]	±		1675
Or}	PersonName <PrsnNm>	[1..1]	±		1675
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1676
	Intermediary <Intrmy>	[0..*]	±		1676
	AccountServicer <AcctSvcr>	[0..1]	±		1677

#### Constraints

- AccountDataElementRule**

One of the elements (Name, Designation, FundType, FundFamilyName, SecurityDetails, AccountOwner, Intermediary, Account Servicer) must be present.

## 4.4.5 ModifiedInvestmentAccount <ModfdInvstmtAcct>

*Presence:* [0..1]

*Definition:* Information related to general characteristics of the account to be inserted, updated or deleted.

*Impacted by:* C2 "AccountElementRule", C17 "IncomePreferenceReinvestmentRule", C29 "ReinvestmentPercentageRule", C12 "FinancialInstrumentDetailsGuideline"

**ModifiedInvestmentAccount <ModfdInvstmtAcct>** contains the following elements (see "InvestmentAccount75" on page 1683 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		1685
	Name <Nm>	[0..1]	Text		1686
	Designation <Dsgnt>	[0..1]	Text		1686
	Type <Tp>	[0..1]	±		1686
	OwnershipType <OwnrshTp>	[0..1]	±		1687
	TaxExemption <TaxXmptn>	[0..1]	±		1687
	StatementFrequency <StmtFrqcy>	[0..1]	±		1687
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1687
	Language <Lang>	[0..1]	CodeSet	C34	1688
	IncomePreference <IncmPref>	[0..1]	CodeSet		1688
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1688
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1688
	TaxReporting <TaxRptg>	[0..*]	±		1689
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1690
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1691
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1691
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1691
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			1691
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1691
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1692
	RoundingDetails <RndgDtls>	[0..1]	±		1693
	AccountServicer <AcctSvcr>	[0..1]	±		1693
	BlockedStatus <BlckdSts>	[0..1]	±		1693
	AccountUsageType <AcctUsgTp>	[0..1]	±		1694
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1694
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1694
	TransactionChannelType <TxChanITp>	[0..1]	±		1695
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1695
	Pledging <Pldg>	[0..1]	CodeSet		1695
	Collateral <Coll>	[0..1]	CodeSet		1695

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1696
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1696
	AccountingStatus <AcctgSts>	[0..1]	±		1696
	OpeningDate <OpngDt>	[0..1]	±		1697
	ClosingDate <ClsgDt>	[0..1]	±		1697
	NegativeIndicator <NegInd>	[0..1]	Indicator		1697
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1697
	Liability <Lbilty>	[0..1]	±		1697
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			1698
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1698
	InvestorProfile <InvstrPrfl>	[1..1]	±		1698
	FiscalYear <FscYr>	[0..1]	±		1699

### Constraints

- **AccountElementRule**

One of the elements (AccountStatusUpdateInstruction, Name, Designation, Type, OwnershipType, TaxExemption, StatementFrequency, ReferenceCurrency, Language, IncomePreference, ReinvestmentDetails, TaxWithholdingMethod, TaxReporting, LetterIntentDetails, AccumulationRightReference, RequiredSignatoriesNumber, FundFamilyName, ModifiedFinancialInstrumentDetails, RoundingDetails, Account Servicer, BlockedStatus, AccountUsageType, ForeignStatusCertification, AccountSignatureDateTime, TransactionChannelType, InvestmentAccountCategory, Pledging, Collateral, ThirdPartyRights, PowerOfAttorneyLevelOfControl, AccountingStatus, OpeningDate, ClosingDate, NegativeIndicator, ProcessingOrder, Liability, ModifiedInvestorProfile, FiscalYear) must be present.

- **FinancialInstrumentDetailsGuideline**

ModifiedFinancialInstrumentDetails/FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestmentRule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

```
On Condition
  /IncomePreference is equal to value 'Cash'
Following Must be True
  /ReinvestmentDetails[*] Must be absent
```

- **ReinvestmentPercentageRule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.



## 4.4.6 ModifiedAccountParties <ModfdAcctPties>

*Presence:* [0..\*]

*Definition:* Information related to an account party to be inserted, updated or deleted.

*Impacted by:* C5 "AddressRule"

**ModifiedAccountParties <ModfdAcctPties>** contains the following elements (see "AccountParties18" on page 2038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2039
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			2039
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2040
Or	Trustee <Trstee>	[1..5]	±		2042
Or	Nominee <Nmnee>	[1..1]	±		2044
Or}	JointOwner <JntOwnr>	[1..5]	±		2046
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2048
	Beneficiary <Bnfcry>	[0..*]	±		2050
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2052
	LegalGuardian <LglGuardn>	[0..*]	±		2054
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2056
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2058
	Administrator <Admstr>	[0..*]	±		2060
	OtherParty <OthrPty>	[0..*]	±		2062
	Granter <Grntr>	[0..*]	±		2062
	Settlor <Sttlr>	[0..*]	±		2065
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2067
	Protector <Prctr>	[0..*]	±		2069
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2071

### Constraints

- **AddressRule**

If ModificationScopeIndication is INSE (InsertNewDataSet), then one of the following must be present:

PrincipalAccountParty/./Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

CustodianForMinor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

SecondaryOwner/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Beneficiary/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

PowerOfAttorney/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

LegalGuardian/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SuccessorOnDeath/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Administrator/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

OtherParty/OtherPartyDetails/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Granter/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Settlor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SeniorManagingOfficial/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Protector/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet).

#### 4.4.7 ModifiedIntermediaries <ModfdIntrmies>

*Presence:* [0..\*]

*Definition:* Information related to intermediaries to be inserted, updated or deleted.

**ModifiedIntermediaries <ModfdIntrmies>** contains the following elements (see "[ModificationScope40](#)" on [page 2033](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2033
	Intermediary <Intrmy>	[1..1]	±		2034

#### 4.4.8 ModifiedPlacement <ModfdPlcmnt>

*Presence:* [0..1]

*Definition:* Information related to referral information to be inserted, updated or deleted.

**ModifiedPlacement <ModfdPlcmnt>** contains the following elements (see "[ModificationScope43](#)" on [page 1991](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1992
	Placement <Plcmnt>	[1..1]	±	C30	1992

#### 4.4.9 ModifiedIssueAllocation <ModfdlsseAllcn>

*Presence:* [0..1]

*Definition:* Eligibility conditions related to allocation of new issues to be inserted, updated or deleted.

**ModifiedIssueAllocation <ModfdlsseAllcn>** contains the following elements (see "ModificationScope21" on page 1946 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1946
	IssueAllocation <IsseAllcn>	[1..1]	±		1946

#### 4.4.10 ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan>

*Presence:* [0..50]

*Definition:* Information related to a savings plan to be inserted, updated or deleted.

**ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan>** contains the following elements (see "ModificationScope41" on page 1778 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1779
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1780
	Frequency <Frqcy>	[1..1]	±		1781
	StartDate <StartDt>	[0..1]	Date		1781
	EndDate <EndDt>	[0..1]	Date		1781
	Quantity <Qty>	[1..1]	±		1781
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1781
	IncomePreference <IncmPref>	[0..1]	CodeSet		1782
	InitialAmount <InitlAmt>	[0..1]	±		1782
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1782
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1782
	SecurityDetails <SctyDtls>	[1..50]			1782
	Quantity <Qty>	[1..1]	±		1783
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1783
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1784
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1785
	ContractReference <CtrctRef>	[0..1]	Text		1786
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1786
	ProductIdentification <PdctId>	[0..1]	Text		1786
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1786
	InsuranceCover <InsrncCover>	[0..1]	±		1786
	PlanStatus <PlanSts>	[0..1]	±		1786
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1787

#### 4.4.11 ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>

*Presence:* [0..10]

*Definition:* Information related to a withdrawal plan to be inserted, updated or deleted.

**ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>** contains the following elements  
(see "ModificationScope41" on page 1778 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1779
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1780
	Frequency <Frqcy>	[1..1]	±		1781
	StartDate <StartDt>	[0..1]	Date		1781
	EndDate <EndDt>	[0..1]	Date		1781
	Quantity <Qty>	[1..1]	±		1781
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1781
	IncomePreference <IncmPref>	[0..1]	CodeSet		1782
	InitialAmount <InitlAmt>	[0..1]	±		1782
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1782
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1782
	SecurityDetails <SctyDtls>	[1..50]			1782
	Quantity <Qty>	[1..1]	±		1783
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1783
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1784
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1785
	ContractReference <CtrctRef>	[0..1]	Text		1786
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1786
	ProductIdentification <PdctId>	[0..1]	Text		1786
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1786
	InsuranceCover <InsrncCover>	[0..1]	±		1786
	PlanStatus <PlanSts>	[0..1]	±		1786
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1787

#### 4.4.12 ModifiedCashSettlement <ModfdCshSttlm>

*Presence:* [0..8]

*Definition:* Cash settlement standing instruction to be either inserted or deleted.

**ModifiedCashSettlement <ModfdCshSttlm>** contains the following elements (see "CashSettlement4" on page 2453 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2454
	CashAccountDetails <CshAcctDtls>	[0..*]			2454
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2455
	Identification </d>	[1..1]	±		2456
	AccountOwner <AcctOwnr>	[0..1]	±		2456
	AccountServicer <AcctSvcr>	[0..1]	±		2456
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2457
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2457
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2457
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2458
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2458
{Or	Code <Cd>	[1..1]	CodeSet		2458
Or}	Proprietary <Prtry>	[1..1]	±		2459
	CashAccountPurpose <CshAcctPurp>	[0..1]			2459
{Or	Code <Cd>	[1..1]	CodeSet		2459
Or}	Proprietary <Prtry>	[1..1]	±		2460
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2460
{Or	Code <Cd>	[1..1]	CodeSet		2460
Or}	Proprietary <Prtry>	[1..1]	±		2460
	DividendPercentage <DvddPctg>	[0..1]	Rate		2461
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2461

#### 4.4.13 ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt>

*Presence:* [0..30]

*Definition:* Information related to documents to be added, deleted or updated.

**ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt>** contains the following elements (see "ModificationScope44" on page 2402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2402
	ServiceLevelAgreement <SvcLvlAgrmt>	[1..1]	±		2403

#### 4.4.14 ModifiedAdditionalInformation <ModfdAddtlInf>

*Presence:* [0..\*]

*Definition:* Information related to additional information to be added, deleted or updated.

**ModifiedAdditionalInformation <ModfdAddtlInf>** contains the following elements (see "ModificationScope45" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1887
	AdditionalInformation <AddtlInf>	[1..*]	±		1887

#### 4.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

#### 4.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 5 acmt.005.001.06 RequestForAccountManagementStatusReportV06

## 5.1 MessageDefinition Functionality

### Scope

The RequestForAccountManagementStatusReport message is sent by an account owner, for example, an investor or its designated agent, to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to request the status of an AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction.

### Usage

The RequestForAccountManagementStatusReport message is used to request the processing status of a previously sent AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction message for which an AccountDetailsConfirmation message has not yet been received.

### Outline

The RequestForAccountManagementStatusReportV06 MessageDefinition is composed of 2 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. RequestDetails

Identifies the account for which the status of the account management instruction is requested.

## 5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForAcctMgmtStsRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		79
	<b>RequestDetails</b> <ReqDtls>	[1..1]		C3	79
	<b>LinkedReference</b> <LkdRef>	[0..1]		C4, C5	80
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		81
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		81
	<b>StatusRequestType</b> <StsReqTp>	[1..1]	CodeSet		81
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		82
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..1]	±		82
	<b>InvestmentAccount</b> <InvstmtAcct>	[0..1]			82
	<b>AccountIdentification</b> <AcctId>	[1..1]	Text		83
	<b>AccountName</b> <AcctNm>	[0..1]	Text		83
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		83
	<b>OwnerIdentification</b> <OwnrId>	[0..1]			83
{Or	<b>IndividualOwnerIdentification</b> <IndvOwnrId>	[1..1]			83
{Or	<b>IdentificationNumber</b> <IdNb>	[1..1]	±		84
Or}	<b>PersonName</b> <PrsnNm>	[1..1]	±		84
Or}	<b>OrganisationOwnerIdentification</b> <OrgOwnrId>	[1..1]	±		84
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		84

## 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 LinkedReferenceOrAccountApplicationIdentificationRule

Either LinkedReference or AccountApplicationIdentification must be present.

**C4 OtherReferenceGuideline**

OtherReference should be used for an account opening or an account modification instruction sent in a proprietary way or for system references.

If OtherReference is present, OtherReference/MessageName must contain, for example, 'fax' or 'phone' or 'email'.

**C5 PreviousReferenceGuideline**

If PreviousReference/MessageName is present, it must start with acmt.001 or acmt.003 and PreviousReference/Reference must contain the business reference of a message.

## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 5.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 5.4.2 RequestDetails <ReqDtls>

*Presence:* [1..1]

*Definition:* Identifies the account for which the status of the account management instruction is requested.

*Impacted by:* [C3 "LinkedReferenceOrAccountApplicationIdentificationRule"](#)

**RequestDetails <ReqDtls>** contains the following **AccountManagementMessageReference5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LinkedReference</b> <LkdRef>	[0..1]		C4, C5	80
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		81
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		81
	<b>StatusRequestType</b> <StsReqTp>	[1..1]	CodeSet		81
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		82
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..1]	±		82
	<b>InvestmentAccount</b> <InvstmtAcct>	[0..1]			82
	<b>AccountIdentification</b> <AcctId>	[1..1]	Text		83
	<b>AccountName</b> <AcctNm>	[0..1]	Text		83
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		83
	<b>OwnerIdentification</b> <OwnrId>	[0..1]			83
{Or	<b>IndividualOwnerIdentification</b> <IndvOwnrId>	[1..1]			83
{Or	<b>IdentificationNumber</b> <IdNb>	[1..1]	±		84
Or}	<b>PersonName</b> <PrsnNm>	[1..1]	±		84
Or}	<b>OrganisationOwnerIdentification</b> <OrgOwnrId>	[1..1]	±		84
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		84

#### Constraints

- **LinkedReferenceOrAccountApplicationIdentificationRule**

Either LinkedReference or AccountApplicationIdentification must be present.

#### 5.4.2.1 LinkedReference <LkdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message.

*Impacted by:* C4 "OtherReferenceGuideline", C5 "PreviousReferenceGuideline"

**LinkedReference <LkdRef>** contains one of the following **LinkedMessage5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		81
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		81

**Constraints**

- **OtherReferenceGuideline**

OtherReference should be used for an account opening or an account modification instruction sent in a proprietary way or for system references.

If OtherReference is present, OtherReference/MessageName must contain, for example, 'fax' or 'phone' or 'email'.

- **PreviousReferenceGuideline**

If PreviousReference/MessageName is present, it must start with acmt.001 or acmt.003 and PreviousReference/Reference must contain the business reference of a message.

**5.4.2.1.1 PreviousReference <PrvsRef>**

*Presence:* [1..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

**5.4.2.1.2 OtherReference <OthrRef>**

*Presence:* [1..1]

*Definition:* Reference to a linked message sent in a proprietary way or reference of a system.

**OtherReference <OthrRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

**5.4.2.2 StatusRequestType <StsReqTp>**

*Presence:* [1..1]

*Definition:* Type of account management instruction for which the status is requested or a request to know the status of the account.

*Datatype:* ["AccountManagementType3Code"](#) on page 2707

CodeName	Name	Definition
ACCM	AccountModification	Refers to an account modification instruction message.

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
GACC	GetAccountDetails	Refers to a get account details message.
ACST	AccountStatus	Refers to the account status.

#### 5.4.2.3 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier of the account opening or account modification instruction at application level.

*Datatype:* "Max35Text" on page 2837

#### 5.4.2.4 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..1]

*Definition:* Account to which the account opening is related.

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see "Account23" on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

#### 5.4.2.5 InvestmentAccount <InvstmtAcct>

*Presence:* [0..1]

*Definition:* Account information for which the status of an account management instruction is requested.

**InvestmentAccount <InvstmtAcct>** contains the following **InvestmentAccount77** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification</b> <AcctId>	[1..1]	Text		83
	<b>AccountName</b> <AcctNm>	[0..1]	Text		83
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		83
	<b>OwnerIdentification</b> <OwnrId>	[0..1]			83
{Or	<b>IndividualOwnerIdentification</b> <IndvOwnrId>	[1..1]			83
{Or	<b>IdentificationNumber</b> <IdNb>	[1..1]	±		84
Or}	<b>PersonName</b> <PrsnNm>	[1..1]	±		84
Or}	<b>OrganisationOwnerIdentification</b> <OrgOwnrId>	[1..1]	±		84
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		84

**5.4.2.5.1 AccountIdentification <AcctId>***Presence:* [1..1]*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.*Datatype:* "Max35Text" on page 2837**5.4.2.5.2 AccountName <AcctNm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**5.4.2.5.3 AccountDesignation <AcctDsgnt>***Presence:* [0..1]*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.*Datatype:* "Max35Text" on page 2837**5.4.2.5.4 OwnerIdentification <OwnrId>***Presence:* [0..1]*Definition:* Identification of the owner of the account.**OwnerIdentification <OwnrId>** contains one of the following **OwnerIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>IndividualOwnerIdentification</b> <IndvOwnrId>	[1..1]			83
{Or	<b>IdentificationNumber</b> <IdNb>	[1..1]	±		84
Or}	<b>PersonName</b> <PrsnNm>	[1..1]	±		84
Or}	<b>OrganisationOwnerIdentification</b> <OrgOwnrId>	[1..1]	±		84

**5.4.2.5.4.1 IndividualOwnerIdentification <IndvOwnrId>***Presence:* [1..1]*Definition:* Identification of the individual person.**IndividualOwnerIdentification <IndvOwnrId>** contains one of the following **IndividualPersonIdentification2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>IdentificationNumber</b> <IdNb>	[1..1]	±		84
Or}	<b>PersonName</b> <PrsnNm>	[1..1]	±		84

**5.4.2.5.4.1.1 IdentificationNumber <IdNb>***Presence:* [1..1]*Definition:* Identification of a party, such as a tax or social security identifier.**IdentificationNumber <IdNb>** contains the following elements (see "[GenericIdentification81](#)" on page 1566 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1566
	IdentificationType <IdTp>	[1..1]			1566
{Or	Code <Cd>	[1..1]	CodeSet		1566
Or}	Proprietary <Prtry>	[1..1]	±		1567

**5.4.2.5.4.1.2 PersonName <PrsnNm>***Presence:* [1..1]*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').**PersonName <PrsnNm>** contains the following elements (see "[IndividualPerson30](#)" on page 2297 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2298
	MiddleName <MddlNm>	[0..1]	Text		2298
	Name <Nm>	[1..1]	Text		2298
	Gender <Gndr>	[0..1]	CodeSet		2298
	BirthDate <BirthDt>	[0..1]	Date		2298

**5.4.2.5.4.2 OrganisationOwnerIdentification <OrgOwnrId>***Presence:* [1..1]*Definition:* Identification of an organisation.**OrganisationOwnerIdentification <OrgOwnrId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**5.4.2.5.5 AccountServicer <AcctSvcr>***Presence:* [0..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 "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

## 6 **acmt.006.001.07**

# **AccountManagementStatusReportV07**

### 6.1 **MessageDefinition Functionality**

#### Scope

The AccountManagementStatusReport message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner or its designated agent, for example, an investor to report on the receipt or the processing status of a previously received account management message.

#### Usage

The AccountManagementStatusReport message is used to provide the status of a previously received AccountOpeningInstruction, an AccountModificationInstruction or a GetAccountDetails message. It may also be used to report the status of the account.

The AccountManagementStatusReport message is also used to reject an AccountOpeningInstruction, AccountModificationInstruction or GetAccountDetails message when the message is not compliant with the agreed SLA or when the account cannot be uniquely identified.

#### Outline

The AccountManagementStatusReportV07 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RelatedReference

Reference to a linked message that was previously received.

C. StatusReport

Status details of the account management instruction for which the status is provided.

D. MarketPracticeVersion

Identifies the market practice to which the message conforms.

E. Extension

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

## 6.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctMgmtStsRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		88
	<b>RelatedReference</b> <RltdRef>	[1..2]	±		88
	<b>StatusReport</b> <StsRpt>	[1..1]			89
	<b>Status</b> <Sts>	[1..1]	±		89
	<b>StatusReason</b> <StsRsn>	[0..*]	±		89
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		90
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		90
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		90
	<b>AccountStatus</b> <AcctSts>	[0..1]	±	C2, C3, C4, C5, C6, C7, C9, C10, C12	90
	<b>BlockedStatus</b> <BlckdSts>	[0..1]	±		92
	<b>FATCARReportingDate</b> <FATCARptgDt>	[0..1]	Date		92
	<b>CRSReportingDate</b> <CRSRptgDt>	[0..1]	Date		93
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		93
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	93

## 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 ClosedStatus1Rule

If Closed is present then Enabled is not allowed.

### C3 ClosedStatus2Rule

If Closed is present then Disabled is not allowed.

### C4 ClosedStatus3Rule

If Closed is present then Pending is not allowed.

### C5 ClosedStatus4Rule

If Closed is present then PendingOpening is not allowed.

**C6 ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

**C7 ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

**C8 Country**

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

**C9 EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

**C10 EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

## 6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 6.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 6.4.2 RelatedReference <RltdRef>

*Presence:* [1..2]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference13" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

### 6.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status details of the account management instruction for which the status is provided.

**StatusReport <StsRpt>** contains the following **AccountManagementStatusAndReason5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Status &lt;Sts&gt;</b>	[1..1]	±		89
	<b>StatusReason &lt;StsRsn&gt;</b>	[0..*]	±		89
	<b>AccountApplicationIdentification &lt;AcctAppId&gt;</b>	[0..1]	Text		90
	<b>ExistingAccountIdentification &lt;ExstgAcctId&gt;</b>	[0..*]	±		90
	<b>AccountIdentification &lt;AcctId&gt;</b>	[0..1]	Text		90
	<b>AccountStatus &lt;AcctSts&gt;</b>	[0..1]	±	C2, C3, C4, C5, C6, C7, C9, C10, C12	90
	<b>BlockedStatus &lt;BlckdSts&gt;</b>	[0..1]	±		92
	<b>FATCARReportingDate &lt;FATCARptgDt&gt;</b>	[0..1]	Date		92
	<b>CRSReportingDate &lt;CRSRptgDt&gt;</b>	[0..1]	Date		93

#### 6.4.3.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the account management instruction that was previously received.

**Status <Sts>** contains one of the following elements (see "Status25Choice" on page 2501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2501
Or}	Rejected <Rjctd>	[1..10]	±		2501

#### 6.4.3.2 StatusReason <StsRsn>

*Presence:* [0..\*]

*Definition:* Reason for the status of the account management instruction.

**StatusReason <StsRsn>** contains one of the following elements (see ["AcceptedStatusReason1Choice"](#) on page 2519 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2519
Or}	Proprietary <Prtry>	[1..1]	±		2520

#### 6.4.3.3 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier of the account opening or modification instruction at application level.

*Datatype:* ["Max35Text"](#) on page 2837

#### 6.4.3.4 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

*Definition:* Account to which the account opening is related.

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

#### 6.4.3.5 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2837

#### 6.4.3.6 AccountStatus <AcctSts>

*Presence:* [0..1]

*Definition:* Status of the account.

*Impacted by:* [C2 "ClosedStatus1Rule"](#), [C3 "ClosedStatus2Rule"](#), [C4 "ClosedStatus3Rule"](#), [C5 "ClosedStatus4Rule"](#), [C6 "ClosedStatus5Rule"](#), [C7 "ClosedStatus6Rule"](#), [C9 "EnabledDisabledStatus1Rule"](#), [C10 "EnabledDisabledStatus2Rule"](#), [C12 "StatusElementRule"](#)

**AccountStatus <AcctSts>** contains the following elements (see "AccountStatus2" on page 2502 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2504
	Disabled <Dsbl>	[0..1]	±		2504
	Pending <Pdg>	[0..1]	±		2505
	PendingOpening <PdgOpng>	[0..1]	±		2505
	Proforma <Profrm>	[0..1]	±		2505
	Closed <Clsd>	[0..1]	±		2506
	ClosurePending <ClsrPdg>	[0..1]	±		2506
	Other <Othr>	[0..*]	±		2507

### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Enabled Must be absent
```

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```

- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

On Condition  
/Closed is absent  
Following Must be True  
/ClosurePending Must be absent

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

On Condition  
/Enabled is present  
Following Must be True  
/Disabled Must be absent

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

On Condition  
/Disabled is present  
Following Must be True  
/Enabled Must be absent

- **StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

#### 6.4.3.7 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2472
Or}	Reason <Rsn>	[1..*]			2473
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

#### 6.4.3.8 FATCARreportingDate <FATCARptgDt>

*Presence:* [0..1]



*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2822

#### 6.4.3.9 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2822

### 6.4.4 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 6.4.5 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 7 **camt.040.001.04**

## **FundEstimatedCashForecastReportV04**

### 7.1 **MessageDefinition Functionality**

#### Scope

A report provider, such as a transfer agent, sends the FundEstimatedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the estimated cash incomings and outgoings of one or more share classes of an investment fund on one or more trade dates.

The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.

#### Usage

The FundEstimatedCashForecastReport is used to report estimated cash movements, that is, it is sent prior to the cut-off time and/or the price valuation of the fund.

The message contains incoming and outgoing cash flows that are estimated, that is, the price has not been applied. If the price is definitive, then the FundConfirmedCashForecastReport message must be used.

The message structure allows for the following uses:

- to provide cash in and cash out amounts for a fund/sub fund (FundOrSubFundDetails sequence is used),
- to provide cash in and cash out amounts for a fund/sub fund and one or more share classes (a FundOrSubFundDetails sequence and one or more EstimatedFundCashForecastDetails sequences are used),
- to provide cash in and cash out amounts for one or more share classes (one or more EstimatedFundCashForecastDetails sequences are used).
- to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes (two or more FundOrSubFundDetails sequences and two or more EstimatedFundCashForecastDetails sequences and used); however, it should be noted that, in this usage, there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and the use of this kind of combination should be bilaterally agreed.

This message allows the report provider to report estimated cash movements in or out of a fund, but does not allow the Sender to categorise these movements, for example by country, or to give details of the underlying orders, commission or charges. If the report provider wishes to give detailed information related to estimated cash movements, then the FundDetailedEstimatedCashForecastReport message must be used.

#### Outline

The FundEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MessagePagination  
Pagination of the message.
- F. FundOrSubFundDetails  
Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.
- G. EstimatedFundCashForecastDetails  
Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches.
- H. ConsolidatedNetCashForecast  
Estimated net cash as a result of the cash-in and cash-out flows.
- I. Extension  
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> <FndEstmtdCshFcstRpt>	[1..1]		C7, C16, C17, C18, C19	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		98
	<b>PoolReference</b> <PoolRef>	[0..1]	±		99
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		99
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		99
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		100
	<b>FundOrSubFundDetails</b> <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	100
	<b>EstimatedFundCashForecastDetails</b> <EstmtdFndCshFcstDtls>	[0..*]	±	C10	102
	<b>ConsolidatedNetCashForecast</b> <CnsltdNetCshFcst>	[0..1]	±		103
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	104

## 7.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C4 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C5 AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C6 AnyBIC**

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

**C7 ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or EstimatedFundCashForecastDetails must be present. Both FundOrSubFundDetails and EstimatedFundCashForecastDetails may be present.

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /EstimatedFundCashForecastDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlowIndicator is "true" or "1" (Yes), then either EstimatedCashInForecastDetails/ExceptionalCashFlowIndicator or EstimatedCashOutForecastDetails/ExceptionalCashFlowIndicator must be present. Both may be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C13 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C14 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C15 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present.  
Identification, Name and Legal Entity Identifier may all be present.

**C16 FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more EstimatedFundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

*This constraint is defined at the MessageDefinition level.*

**C17 PreviousTradeDateRule**

If any occurrence of EstimatedFundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousDateTime is not allowed.

On Condition  
    /EstimatedFundCashForecastDetails[\*] is present  
Following Must be True  
    /FundOrSubFundDetails[\*]/PreviousDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

**C18 TradeDate1Rule**

If any occurrence of EstimatedFundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

On Condition  
    /EstimatedFundCashForecastDetails[\*] is present  
Following Must be True  
    /FundOrSubFundDetails[\*]/TradeDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

**C19 TradeDate2Rule**

If EstimatedFundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

On Condition  
    /EstimatedFundCashForecastDetails[\*] is absent  
Following Must be True  
    /FundOrSubFundDetails[\*]/TradeDateTime Must be present

*This constraint is defined at the MessageDefinition level.*

## 7.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 7.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 7.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 7.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 7.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 7.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 7.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* [C13 "FundIdentification1Rule"](#), [C14 "FundIdentification2Rule"](#), [C15 "FundIdentification3Rule"](#)



**FundOrSubFundDetails** <FndOrSubFndDtls> contains the following elements (see "Fund1" on page 1719 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1721
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1721
	Identification <Id>	[0..1]			1721
	Identification <Id>	[1..1]	Text		1721
	Type <Tp>	[1..1]	±		1721
	Currency <Ccy>	[0..1]	CodeSet	C2	1722
	TradeDateTime <TradDtTm>	[0..1]	±		1722
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1722
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C2, C10	1723
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1723
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1723
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1724
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1724
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		1724
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		1724
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			1724
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1725
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1725
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1725
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1725

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or    /Name Must be present
```

## 7.4.7 **EstimatedFundCashForecastDetails** **<EstmtdFndCshFcstDtls>**

*Presence:* [0..\*]

*Definition:* Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches.

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>** contains the following elements  
(see "EstimatedFundCashForecast6" on page 1729 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1730
	TradeDateTime <TradDtTm>	[1..1]	±		1730
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1731
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1731
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C2, C10	1732
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1732
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1732
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1733
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1733
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1733
	CurrencyStatus <CcySts>	[0..1]	±		1733
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1734
	Price <Pric>	[0..1]	±		1734
	ForeignExchangeRate <FXRate>	[0..1]	±		1734
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		1734
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	1735
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	1735
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C5	1736

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlowIndicator is "true" or "1" (Yes), then either EstimatedCashInForecastDetails/ExceptionalCashFlowIndicator or EstimatedCashOutForecastDetails/ExceptionalCashFlowIndicator must be present. Both may be present.

## 7.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

## 7.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 8 **camt.041.001.04**

## **FundConfirmedCashForecastReportV04**

### 8.1 **MessageDefinition Functionality**

#### Scope

A report provider, such as a transfer agent, sends the FundConfirmedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the confirmed cash incomings and outgoings of one or more share classes of an investment fund on one or more trade dates.

The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.

#### Usage

The FundConfirmedCashForecastReport is used to report definitive cash movements, that is it is sent after the cut-off time and/or the price valuation of the fund.

This message contains incoming and outgoing cash flows that are confirmed, that is, the price has been applied. If the price is not yet definitive, then the FundEstimatedCashForecastReport message must be used.

The message structure allows for the following uses:

- to provide cash in and cash out amounts for a fund/sub fund (a FundOrSubFundDetails sequence is used),
- to provide cash in and cash out amounts for a fund/sub fund and one or more share classes (FundOrSubFundDetails sequence and one or more FundCashForecastDetails sequences are used),
- to provide cash in and cash out amounts for one or more share classes (one or more FundCashForecastDetails sequences are used).
- to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences are used); however, it should be noted that, in this usage, there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and the use of this kind of combination should be bilaterally agreed.

This message allows the report provider to report cash movements in or out of a fund, but does not allow the Sender to categorise these movements, for example by country, or to give details of the underlying orders, commission or charges.

If the report provider wishes to give detailed information related to cash movements, then the FundDetailedConfirmedCashForecastReport message must be used.

#### Outline

The FundConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

##### A. MessageIdentification

Identifies the message.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

G. FundCashForecastDetails

Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches.

H. ConsolidatedNetCashForecast

Estimated net cash as a result of the cash-in and cash-out flows.

I. Extension

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

## 8.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndConfdCshFcstRpt>	[1..1]		C7, C16, C17, C18, C19	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		109
	<b>PoolReference</b> <PoolRef>	[0..1]	±		110
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		110
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		110
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		111
	<b>FundOrSubFundDetails</b> <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	111
	<b>FundCashForecastDetails</b> <FndCshFcstDtls>	[0..*]	±	C10	113
	<b>ConsolidatedNetCashForecast</b> <CnsltdNetCshFcst>	[0..1]	±		114
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	115

## 8.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C4 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C5 AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C6 AnyBIC**

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

**C7 ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /FundCashForecastDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C13 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C14 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.



**C15 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present.  
Identification, Name and Legal Entity Identifier may all be present.

**C16 FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

*This constraint is defined at the MessageDefinition level.*

**C17 PreviousTradeDateRule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/PreviousTradeDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

**C18 TradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

**C19 TradeDate2Rule**

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

On Condition

/FundCashForecastDetails[\*] is absent

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be present

*This constraint is defined at the MessageDefinition level.*

## 8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 8.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 8.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 8.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 8.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 8.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 8.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* [C13 "FundIdentification1Rule"](#), [C14 "FundIdentification2Rule"](#), [C15 "FundIdentification3Rule"](#)

**FundOrSubFundDetails** <FndOrSubFndDtls> contains the following elements (see "Fund2" on page 1702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1704
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1704
	Identification <Id>	[0..1]			1704
	Identification <Id>	[1..1]	Text		1704
	Type <Tp>	[1..1]	±		1704
	Currency <Ccy>	[0..1]	CodeSet	C2	1705
	TradeDateTime <TradDtTm>	[0..1]	±		1705
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1705
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1706
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1706
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1706
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1707
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1707
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1707
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1707
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1707
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1708
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1708
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1708
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1708

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
```

---

Following Must be True  
    /Identification Must be present  
Or     /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
    /LegalEntityIdentifier is absent  
Following Must be True  
    /Identification Must be present  
Or     /Name Must be present

## 8.4.7      **FundCashForecastDetails <FndCshFcstDtls>**

*Presence:* [0..\*]

*Definition:* Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches.

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following elements (see "FundCashForecast7" on page 1737 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1738
	TradeDateTime <TradDtTm>	[1..1]	±		1738
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1738
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1738
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1739
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1739
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1740
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1740
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1740
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1740
	CurrencyStatus <CcySts>	[0..1]	±		1741
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1741
	Price <Pric>	[0..1]	±		1741
	ForeignExchangeRate <FXRate>	[0..1]	±		1741
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1742
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1742
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1743
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1743

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

### 8.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

## 8.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 9 **camt.042.001.04**

## **FundDetailedEstimatedCashForecastReportV04**

### 9.1 **MessageDefinition Functionality**

#### Scope

A report provider, such as a transfer agent, sends the FundDetailedEstimatedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the estimated cash incomings and outgoings, sorted by country, institution name or other criteria defined by the user of one or more share classes of an investment fund on one or more trade dates.

The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.

#### Usage

The FundDetailedEstimatedCashForecastReport is used to provide estimated cash movements, that is, it is sent prior to the cut-off time and/or the price valuation of the fund. The message contains incoming and outgoing cash flows that are estimated, that is, the price has not been applied. If the price is definitive, then the FundDetailedConfirmedCashForecastReport message must be used.

The message structure allows for the following uses:

- to provide cash in and cash out amounts for a fund/sub fund and one or more share classes (a FundOrSubFundDetails sequence and one or more EstimatedFundCashForecastDetails sequences are used),
- to provide cash in and cash out amounts for one or more share classes (one or more EstimatedFundCashForecastDetails sequences are used).

If the report is to provide estimated cash in and cash out for a fund/sub fund only and not for one or more share classes, then the FundEstimatedCashForecastReport message must be used.

The FundDetailedEstimatedCashForecastReport message is used to report cash movements in or out of a fund, organised by party, such as fund management company, country, currency or by some other criteria defined by the report provider. If the report is used to give the cash-in and cash-out for a party, then additional criteria, such as currency and country, can be specified.

In addition, the underlying transaction type for the cash-in or cash-out movement can be specified, as well as information about the cash movement's underlying orders, such as commission and charges.

#### Outline

The FundDetailedEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference



Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

G. EstimatedFundCashForecastDetails

Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

H. ConsolidatedNetCashForecast

Estimated net cash as a result of the cash-in and cash-out flows specified in the fund cash forecast details.

I. Extension

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

## 9.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtlEstmtdCshFcstRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		119
	<b>PoolReference</b> <PoolRef>	[0..1]	±		120
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		120
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		120
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		121
	<b>FundOrSubFundDetails</b> <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	121
	<b>EstimatedFundCashForecastDetails</b> <EstmtdFndCshFcstDtls>	[1..*]	±	C11	123
	<b>ConsolidatedNetCashForecast</b> <CnsltdNetCshFcst>	[0..1]	±		124
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	124

## 9.3 Constraints

### C1 AccountOrOwner1Rule

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

### C2 AccountOrOwner2Rule

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C6 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C7 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C8 AnyBIC

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

### C9 Country

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

### C10 CurrencyAmount

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

Note: The decimal separator is a dot.

#### **C11 ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### **C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

#### **C13 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### **C14 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

#### **C15 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

#### **C16 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

#### **C17 UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present. More than one element in the list (Party, Country, Currency, UserDefined) may be present.

## **9.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **9.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 9.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 9.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 9.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 9.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 9.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* [C14 "FundIdentification1Rule"](#), [C15 "FundIdentification2Rule"](#), [C16 "FundIdentification3Rule"](#)

**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund3" on page 1726 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1727
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1727
	Identification <Id>	[0..1]			1727
	Identification </Id>	[1..1]	Text		1727
	Type <Tp>	[1..1]	±		1727
	Currency <Ccy>	[0..1]	CodeSet	C2	1728
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C2, C10	1728
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1728
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1729
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1729
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1729

### Constraints

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or    /Name Must be present
```

## 9.4.7 EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>

*Presence:* [1..\*]

*Definition:* Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

*Impacted by:* C11 "ExceptionalCashFlowIndicatorRule"

**EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>** contains the following elements (see "EstimatedFundCashForecast5" on page 1709 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1710
	TradeDateTime <TradDtTm>	[1..1]	±		1710
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1710
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1711
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C2, C10	1711
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1712
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1712
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1712
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1713
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1713
	CurrencyStatus <CcySts>	[0..1]	±		1713
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1713
	Price <Pric>	[0..1]	±		1713
	ForeignExchangeRate <FXRate>	[0..1]	±		1714
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsTtlNAV>	[0..1]	Rate		1714
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1714
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1715
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1716
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1717
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C5	1718

**Constraints**

- **ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

## 9.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows specified in the fund cash forecast details.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

## 9.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888



**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 10 camt.043.001.04 FundDetailedConfirmedCashForecastReport V04

## 10.1 MessageDefinition Functionality

### Scope

A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the confirmed cash incomings and outgoings, sorted by country, institution name or other criteria defined by the user of one or more share classes of an investment fund on one or more trade dates.

The cash movements may result from, for example, redemption, subscription, switch transactions or reinvestment of dividends.

### Usage

The FundDetailedConfirmedCashForecastReport is used to provide definitive cash movements, that is, it is sent after the cut-off time and/or the price valuation of the fund.

If the price is not yet definitive, then the FundDetailedEstimatedCashForecastReport message must be used.

The message structure allows for the following uses:

- to provide cash in and cash out amounts for a fund/sub fund and one or more share classes (a FundOrSubFundDetails sequence and one or FundCashForecastDetails sequences are used),
- to provide cash in and cash out amounts for one or more share classes (one or more FundCashForecastDetails sequences are used).

If the report is to provide cash in and cash out for a fund/sub fund only and not for one or more share classes, then the FundConfirmedCashForecastReport message must be used.

The FundDetailedConfirmedCashForecastReport message is used to report cash movements in or out of a fund, organised by party, such as fund management company, country, currency or by some other criteria defined by the report provider. If the report is used to given the cash-in and cash-out for a party, then additional criteria, such as currency and country, can be specified.

In addition, the underlying transaction type for the cash-in or cash-out movement can be specified, as well as information about the cash movement's underlying orders, such as commission and charges.

### Outline

The FundDetailedConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference

---

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

G. FundCashForecastDetails

Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

H. ConsolidatedNetCashForecast

Net cash as a result of the cash-in and cash-out flows specified in the fund cash forecast details.

I. Extension

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

## 10.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtlDConfdCshFcstRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		131
	<b>PoolReference</b> <PoolRef>	[0..1]	±		131
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		131
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		131
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		132
	<b>FundOrSubFundDetails</b> <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	132
	<b>FundCashForecastDetails</b> <FndCshFcstDtls>	[1..*]		C11	134
	<b>Identification</b> <Id>	[1..1]	Text		135
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		135
	<b>PreviousTradeDateTime</b> <PrvsTradDtTm>	[0..1]	±		135
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C13	135
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C4, C10	136
	<b>PreviousTotalNAV</b> <PrvsTtlNAV>	[0..*]	Amount	C4, C10	136
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		137
	<b>PreviousTotalUnitsNumber</b> <PrvsTtlUnitsNb>	[0..1]	±		137
	<b>TotalNAVChangeRate</b> <TtlNAVChngRate>	[0..1]	Rate		137
	<b>InvestmentCurrency</b> <InvstmtCcy>	[0..*]	CodeSet	C4	137
	<b>CurrencyStatus</b> <CcySts>	[0..1]	±		138
	<b>ExceptionalNetCashFlowIndicator</b> <XcptnlNetCshFlowInd>	[1..1]	Indicator		138
	<b>Price</b> <Pric>	[0..1]	±		138
	<b>ForeignExchangeRate</b> <FXRate>	[0..1]	±		139
	<b>PercentageOfShareClassTotalNAV</b> <PctgOfShrClsTtlNAV>	[0..1]	Rate		139
	<b>BreakdownByParty</b> <BrkdwnByPty>	[0..*]	±		139
	<b>BreakdownByCountry</b> <BrkdwnByCtry>	[0..*]	±		140
	<b>BreakdownByCurrency</b> <BrkdwnByCcy>	[0..*]	±		141
	<b>BreakdownByUserDefinedParameter</b> <BrkdwnByUsrDfndParam>	[0..*]	±	C17	142
	<b>NetCashForecastDetails</b> <NetCshFcstDtls>	[0..*]	±	C7	143

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ConsolidatedNetCashForecast</b> <CnsltdNetCshFcst>	[0..1]	±		144
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	144

## 10.3 Constraints

### C1 AccountOrOwner1Rule

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

### C2 AccountOrOwner2Rule

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C6 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C7 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C8 AnyBIC

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

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C14 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C15 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C16 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

**C17 UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present. More than one element in the list (Party, Country, Currency, UserDefined) may be present.

## 10.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 10.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 10.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 10.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 10.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 10.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 10.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* [C14 "FundIdentification1Rule"](#), [C15 "FundIdentification2Rule"](#), [C16 "FundIdentification3Rule"](#)



**FundOrSubFundDetails** <FndOrSubFndDtls> contains the following elements (see "Fund4" on page 1745 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1746
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1746
	Identification <Id>	[0..1]			1746
	Identification <Id>	[1..1]	Text		1746
	Type <Tp>	[1..1]	±		1746
	Currency <Ccy>	[0..1]	CodeSet	C2	1747
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1747
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1747
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1748
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1748
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1748

### Constraints

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
  Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
  Or    /Name Must be present
```

## 10.4.7 FundCashForecastDetails <FndCshFcstDtls>

*Presence:* [1..\*]

*Definition:* Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

*Impacted by:* C11 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following **FundCashForecast6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	Text		135
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		135
	<b>PreviousTradeDateTime</b> <PrvsTradDtTm>	[0..1]	±		135
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C13	135
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C4, C10	136
	<b>PreviousTotalNAV</b> <PrvsTtlNAV>	[0..*]	Amount	C4, C10	136
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		137
	<b>PreviousTotalUnitsNumber</b> <PrvsTtlUnitsNb>	[0..1]	±		137
	<b>TotalNAVChangeRate</b> <TtlNAVChngRate>	[0..1]	Rate		137
	<b>InvestmentCurrency</b> <InvstmtCcy>	[0..*]	CodeSet	C4	137
	<b>CurrencyStatus</b> <CcySts>	[0..1]	±		138
	<b>ExceptionalNetCashFlowIndicator</b> <XcptnlNetCshFlowInd>	[1..1]	Indicator		138
	<b>Price</b> <Pric>	[0..1]	±		138
	<b>ForeignExchangeRate</b> <FXRate>	[0..1]	±		139
	<b>PercentageOfShareClassTotalNAV</b> <PctgOfShrClssTtlNAV>	[0..1]	Rate		139
	<b>BreakdownByParty</b> <BrkdwnByPty>	[0..*]	±		139
	<b>BreakdownByCountry</b> <BrkdwnByCtry>	[0..*]	±		140
	<b>BreakdownByCurrency</b> <BrkdwnByCcy>	[0..*]	±		141
	<b>BreakdownByUserDefinedParameter</b> <BrkdwnByUsrDfndParam>	[0..*]	±	C17	142
	<b>NetCashForecastDetails</b> <NetCshFcstDtls>	[0..*]	±	C7	143

### Constraints

- **ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### 10.4.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

#### 10.4.7.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price has been applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 10.4.7.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 10.4.7.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* C13 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 10.4.7.5 TotalNAV <TtINAV>

*Presence:* [0..\*]

*Definition:* Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 10.4.7.6 PreviousTotalNAV <PrvsTtINAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 10.4.7.7 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 10.4.7.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous total number of investment fund class units that have been issued.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 10.4.7.9 TotalNAVChangeRate <TtlNAVChngRate>

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* "PercentageRate" on page 2835

#### 10.4.7.10 InvestmentCurrency <InvstmtCcy>

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

Impacted by: C4 "ActiveOrHistoricCurrency"

Datatype: "ActiveOrHistoricCurrencyCode" on page 2711

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 10.4.7.11 CurrencyStatus <CcySts>

Presence: [0..1]

Definition: Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "CurrencyDesignation1" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

#### 10.4.7.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

Definition: Indicates whether the net cash flow is exceptional.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 10.4.7.13 Price <Pric>

Presence: [0..1]

Definition: Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "UnitPrice19" on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

**10.4.7.14 ForeignExchangeRate <FXRate>***Presence:* [0..1]*Definition:* Foreign exchange rate.**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

**10.4.7.15 PercentageOfShareClassTotalNAV <PctgOfShrClssttINAV>***Presence:* [0..1]*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.*Datatype:* "[PercentageRate](#)" on page 2835**10.4.7.16 BreakdownByParty <BrkdwnByPty>***Presence:* [0..\*]*Definition:* Cash flow by party.

**BreakdownByParty <BrkdwByPty>** contains the following elements (see "BreakdownByParty3" on page 1888 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1889
	AccountIdentification <AcctId>	[0..1]	±		1890
	OwnerIdentification <OwnrId>	[0..1]	±		1890
	AccountServicer <AcctSvcr>	[0..1]	±		1890
	AdditionalParameters <AddtlParams>	[0..1]	±		1891
	CashInForecast <CshInFcst>	[0..*]		C5	1891
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1892
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1892
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1892
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1892
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		1893
	AdditionalBalance <AddtlBal>	[0..1]	±		1893
	CashOutForecast <CshOutFcst>	[0..*]		C6	1893
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1894
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1894
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1895
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1895
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		1895
	AdditionalBalance <AddtlBal>	[0..1]	±		1896
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1896

#### 10.4.7.17 BreakdownByCountry <BrkdwByCtry>

*Presence:* [0..\*]

*Definition:* Cash flow by country.



**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1939 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1940
	CashInForecast <CshInFcst>	[0..*]		C5	1940
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1941
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1941
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1942
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1942
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1942
	AdditionalBalance <AddtlBal>	[0..1]	±		1942
	CashOutForecast <CshOutFcst>	[0..*]		C6	1943
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1944
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1944
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1944
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1944
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1944
	AdditionalBalance <AddtlBal>	[0..1]	±		1945
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1945

#### 10.4.7.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Cash flow by currency.

**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1947 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1947
	CashOutForecast <CshOutFcst>	[0..*]		C6	1948
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1948
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1948
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1949
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1949
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1949
	AdditionalBalance <AddtlBal>	[0..1]	±		1950
	CashInForecast <CshInFcst>	[0..*]		C5	1950
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1951
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1951
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1952
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1952
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1952
	AdditionalBalance <AddtlBal>	[0..1]	±		1952
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1953

#### 10.4.7.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

*Definition:* Cash flow by a user defined parameter/s.

*Impacted by:* C17 "UserDefinedRule"

**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements (see "BreakdownByUserDefinedParameter3" on page 1907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1908
	AccountIdentification <AcctId>	[0..1]	±		1909
	OwnerIdentification <OwnrId>	[0..1]	±		1909
	AccountServicer <AcctSvcr>	[0..1]	±		1910
	Country <Ctry>	[0..1]	CodeSet	C12	1910
	Currency <Ccy>	[0..1]	CodeSet	C2	1910
	UserDefined <UsrDfnd>	[0..1]	±		1910
	CashInForecast <CshInFcst>	[0..*]		C5	1911
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1911
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1911
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1912
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1912
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1912
	AdditionalBalance <AddtlBal>	[0..1]	±		1913
	CashOutForecast <CshOutFcst>	[0..*]		C6	1913
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1914
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1914
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1915
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1915
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1915
	AdditionalBalance <AddtlBal>	[0..1]	±		1915
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1916

#### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 10.4.7.20 NetCashForecastDetails <NetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash movements per financial instrument.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 10.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified in the fund cash forecast details.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

## 10.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 11 camt.044.001.03 FundConfirmedCashForecastReportCancellationV03

## 11.1 MessageDefinition Functionality

### Scope

A report provider, such as a transfer agent, sends the FundConfirmedCashForecastReportCancellation message to the report user, such as an investment manager or pricing agent, to cancel a previously sent FundConfirmedCashForecastReport message.

### Usage

The FundConfirmedCashForecastReportCancellation message is used to cancel an entire FundConfirmedCashForecastReport message that was previously sent by the report provider. This message must contain reference to the of the message being cancelled.

This message may also contain details of the message to be cancelled, but this is not recommended.

### Outline

The FundConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MessagePagination  
Pagination of the message.
- F. CashForecastReportToBeCancelled  
The FundDetailedConfirmedCashForecastReport to be cancelled.

## 11.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndConfdCshFcstRptCxl>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		149
	<b>PoolReference</b> <PoolRef>	[0..1]	±		149
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		149
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		150
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		150
	<b>CashForecastReportToBeCancelled</b> <CshFcstRptToBeCanc>	[0..1]	±	C7, C16, C17, C18, C19	150

## 11.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C4 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C5 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C6 AnyBIC**

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

**C7 ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C13 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C14 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C15 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

**C16 FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.



**C17 PreviousTradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

**C18 TradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

**C19 TradeDate2Rule**

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

## 11.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 11.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 11.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 11.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 11.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 11.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

#### 11.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

*Presence:* [0..1]

*Definition:* The FundDetailedConfirmedCashForecastReport to be cancelled.

*Impacted by:* [C7 "ConsolidatedNetCashRule"](#), [C16 "FundOrSubFundAndShareClassGuideline"](#), [C17 "PreviousTradeDate1Rule"](#), [C18 "TradeDate1Rule"](#), [C19 "TradeDate2Rule"](#)

**CashForecastReportToBeCancelled <CshFcstRptToBeCanc>** contains the following elements (see "FundConfirmedCashForecastReport3" on page 1375 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1376
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1378
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1379
	Extension <Xtnsn>	[0..*]	±	C16	1380

### Constraints

- **ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

```
On Condition
  /ConsolidatedNetCashForecast is present
Following Must be True
  /FundOrSubFundDetails[*] Must be present
Or
  /FundCashForecastDetails[*] Must be present
```

- **FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

- **PreviousTradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

```
On Condition
  /FundCashForecastDetails[*] is present
Following Must be True
  /FundOrSubFundDetails[*]/PreviousTradeDateTime Must be absent
```

- **TradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

```
On Condition
  /FundCashForecastDetails[*] is present
Following Must be True
  /FundOrSubFundDetails[*]/TradeDateTime Must be absent
```

- **TradeDate2Rule**

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

```
On Condition
  /FundCashForecastDetails[*] is absent
```

---

Following Must be True  
/FundOrSubFundDetails[\*]/TradeDateTime Must be present

# 12 camt.045.001.03 FundDetailedConfirmedCashForecastReport CancellationV03

## 12.1 MessageDefinition Functionality

### Scope

A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReportCancellation messages to the report user, such as an investment manager, fund accountant or any other interested party, to cancel a previously sent FundDetailedConfirmedCashForecastReport.

### Usage

The FundDetailedConfirmedCashForecastReportCancellation message is used to cancel an entire FundDetailedConfirmedCashForecastReport message that was previously sent. This message must contain the reference of the message to be cancelled.

This message may also contain details of the message to be cancelled, but this is not recommended.

### Outline

The FundDetailedConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MessagePagination  
Pagination of the message.
- F. CashForecastReportToBeCancelled  
The FundDetailedConfirmedCashForecastReport to be cancelled.

## 12.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtldConfdCshFcstRptCxl>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		156
	<b>PoolReference</b> <PoolRef>	[0..1]	±		156
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		156
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		157
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		157
	<b>CashForecastReportToBeCancelled</b> <CshFcstRptToBeCanc>	[0..1]	±		157

## 12.3 Constraints

### C1 AccountOrOwner1Rule

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

### C2 AccountOrOwner2Rule

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

### C6 AdditionalBalanceRule

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C7 AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

**C8 AnyBIC**

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

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C14 FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

**C15 FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present.  
Identification, Name and Legal Entity Identifier may all be present.

**C16 FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present.  
Identification, Name and Legal Entity Identifier may all be present.

**C17 UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present. More than one element in the list (Party, Country, Currency, UserDefined) may be present.

## 12.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 12.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 12.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 12.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.



**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 12.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 12.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 12.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

*Presence:* [0..1]

*Definition:* The FundDetailedConfirmedCashForecastReport to be cancelled.

**CashForecastReportToBeCancelled <CshFcstRptToBeCanc>** contains the following elements (see "FundDetailedConfirmedCashForecastReport3" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1362
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1363
	Identification <Id>	[1..1]	Text		1365
	TradeDateTime <TradDtTm>	[1..1]	±		1365
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1365
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1365
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1366
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1366
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1367
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1367
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1367
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1367
	CurrencyStatus <CcySts>	[0..1]	±		1368
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1368
	Price <Pric>	[0..1]	±		1368
	ForeignExchangeRate <FXRate>	[0..1]	±		1368
	PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlNAV>	[0..1]	Rate		1369
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1369
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1370
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1371
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1372
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1373
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1374
	Extension <Xtnsn>	[0..*]	±	C16	1374

# 13      **reda.001.001.04**

## **PriceReportV04**

### 13.1    **MessageDefinition Functionality**

#### SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.

#### USAGE

The PriceReport message is sent by the report provider to the report recipient to:

- report prices for one or several different financial instruments for one or several different trade dates,
- report statistical information about the valuation of a financial instrument,
- inform another party that the quotation of a financial instrument is suspended,
- report prices that are used for other purposes than the execution of investment funds orders.

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#### Outline

The PriceReportV04 MessageDefinition is composed of 10 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. PriceReportIdentification

Unique and unambiguous identifier for the price report, as assigned by the reporting party.

G. Function

Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

**H. CancellationIdentification**

Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

**I. PriceValuationDetails**

Information related to the price valuation of a financial instrument.

**J. Extension**

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

## 13.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRpt>	[1..1]		C16	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		163
	<b>PoolReference</b> <PoolRef>	[0..1]	±		164
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		164
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		164
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		165
	<b>PriceReportIdentification</b> <PricRptId>	[1..1]	Text		165
	<b>Function</b> <Fctn>	[1..1]	CodeSet		165
	<b>CancellationIdentification</b> <CxId>	[0..1]	Text		166
	<b>PriceValuationDetails</b> <PricValtnDtls>	[1..*]		C18	166
	<b>Identification</b> <Id>	[0..1]	Text		167
	<b>ValuationDateTime</b> <ValtnDtTm>	[0..1]	±		167
	<b>NAVDateTime</b> <NAVDtTm>	[1..1]	±		167
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	167
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		168
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C3, C10	168
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		169
	<b>NextValuationDateTime</b> <NxtValtnDtTm>	[0..1]	±		169
	<b>PreviousValuationDateTime</b> <PrvsValtnDtTm>	[0..1]	±		169
	<b>ValuationType</b> <ValtnTp>	[1..1]	CodeSet		169
	<b>ValuationFrequency</b> <ValtnFrqcy>	[0..1]	CodeSet		170
	<b>OfficialValuationIndicator</b> <OffclValtnInd>	[1..1]	Indicator		170
	<b>SuspendedIndicator</b> <SspdInd>	[1..1]	Indicator		171
	<b>PriceDetails</b> <PricDtls>	[0..*]	±	C8	171
	<b>ValuationStatistics</b> <ValtnSttstcs>	[0..*]	±	C11, C12, C13	173
	<b>PerformanceDetails</b> <PrfrmncDtls>	[0..1]	±	C1	175
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	176

## 13.3 Constraints

### C1 AccumulationPeriodRule

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

### C2 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.

### C3 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C4 AmountAndOrRateRule

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

### C5 AmountAndOrRateRule

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

### C6 AmountSignRule

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

### C7 AnyBIC

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

### C8 CalculationBasisRule

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

### C9 Country

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

### C10 CurrencyAmount

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

Note: The decimal separator is a dot.

### C11 CurrencyPredefinedPeriodsRule

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

**C12 CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

**C13 CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C16 NewPriceReportRule**

If Function is "NEWP" then CancellationIdentification must not be present.

On Condition  
 /Function is equal to value 'NewPriceReport'  
 Following Must be True  
 /CancellationIdentification Must be absent

*This constraint is defined at the MessageDefinition level.*

**C17 OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

**C18 PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

## 13.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 13.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 13.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 13.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 13.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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



**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

### 13.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

### 13.4.6 PriceReportIdentification <PricRptId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the price report, as assigned by the reporting party.

*Datatype:* ["Max35Text"](#) on page 2837

### 13.4.7 Function <Fctn>

*Presence:* [1..1]

*Definition:* Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

*Datatype:* ["PriceReportFunction1Code"](#) on page 2777

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

## 13.4.8 CancellationIdentification <CxIId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

*Datatype:* "Max35Text" on page 2837

## 13.4.9 PriceValuationDetails <PricValtnDtIs>

*Presence:* [1..\*]

*Definition:* Information related to the price valuation of a financial instrument.

*Impacted by:* C18 "PriceDetailsRule"

**PriceValuationDetails <PricValtnDtIs>** contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]	Text		167
	<b>ValuationDateTime</b> <ValtnDtTm>	[0..1]	±		167
	<b>NAVDateTime</b> <NAVDtTm>	[1..1]	±		167
	<b>FinancialInstrumentDetails</b> <FinInstrmDtIs>	[1..1]	±	C15	167
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		168
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C3, C10	168
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		169
	<b>NextValuationDateTime</b> <NxtValtnDtTm>	[0..1]	±		169
	<b>PreviousValuationDateTime</b> <PrvsValtnDtTm>	[0..1]	±		169
	<b>ValuationType</b> <ValtnTp>	[1..1]	CodeSet		169
	<b>ValuationFrequency</b> <ValtnFrqcy>	[0..1]	CodeSet		170
	<b>OfficialValuationIndicator</b> <OffclValtnInd>	[1..1]	Indicator		170
	<b>SuspendedIndicator</b> <SspdInd>	[1..1]	Indicator		171
	<b>PriceDetails</b> <PricDtIs>	[0..*]	±	C8	171
	<b>ValuationStatistics</b> <ValtnSttstcs>	[0..*]	±	C11, C12, C13	173
	<b>PerformanceDetails</b> <PrfrmncDtIs>	[0..1]	±	C1	175

### Constraints

- **PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

#### 13.4.9.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

#### 13.4.9.2 ValuationDateTime <ValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the price valuation for the investment fund/fund class.

**ValuationDateTime <ValtnDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 13.4.9.3 NAVDateTime <NAVDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

**NAVDateTime <NAVDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 13.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class for which the net asset value is calculated.

*Impacted by:* C15 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument8" on page 1493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1494
	Name <Nm>	[0..1]	Text		1495
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1495
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	1495
	ClassType <ClsTp>	[0..1]	Text		1496
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1496
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1496
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1496

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

### 13.4.9.5 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..1]

*Definition:* Issuer of the fund.

**FundManagementCompany <FndMgmtCpny>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

### 13.4.9.6 TotalNAV <TtlNAV>

*Presence:* [0..\*]

*Definition:* Value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be 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.

#### 13.4.9.7 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 13.4.9.8 NextValuationDateTime <NxtValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the next price valuation for the investment fund/fund class.

**NextValuationDateTime <NxtValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 13.4.9.9 PreviousValuationDateTime <PrvsValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the previous price valuation for the investment fund/fund class.

**PreviousValuationDateTime <PrvsValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 13.4.9.10 ValuationType <ValtnTp>

*Presence:* [1..1]

*Definition:* Specifies how the valuation is done, based on the schedule stated in the prospectus.

*Datatype:* "[ValuationTiming1Code](#)" on page 2822

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

### 13.4.9.11 ValuationFrequency <ValtnFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of the valuation.

*Datatype:* "EventFrequency1Code" on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

### 13.4.9.12 OfficialValuationIndicator <OffclValtnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation is an official valuation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**13.4.9.13 SuspendedIndicator <SspdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the valuation of the investment fund class is suspended.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**13.4.9.14 PriceDetails <PricDtls>**

*Presence:* [0..\*]

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

*Impacted by:* [C8 "CalculationBasisRule"](#)

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice15" on page 2339 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2341
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2343
	PriceMethod <PricMtd>	[0..1]	CodeSet		2343
	ValueInInvestmentCurrency <ValInInvstmtCcy>	[1..*]	±		2343
	ValueInAlternativeCurrency <ValInAltrntvCcy>	[0..*]	±		2343
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2343
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2344
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2344
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2344
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2344
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2344
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2345
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2345
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2345
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2345
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2346
	ChargeDetails <ChrgDtls>	[0..*]			2346
{Or	Type <Tp>	[1..1]	CodeSet		2346
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2347
{Or	Amount <Amt>	[1..1]	Amount	C1	2347
Or}	Rate <Rate>	[1..1]	Rate		2348
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2348
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2348
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2348
{Or	Type <Tp>	[1..1]	CodeSet		2349
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2350
	Amount <Amt>	[0..7]	Amount	C2	2350
	Rate <Rate>	[0..1]	Rate		2350
	Country <Ctry>	[1..1]	CodeSet	C12	2350
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2351



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2351
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2351
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2352
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2352
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2352
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2352
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2353
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2353
{Or	Type <Tp>	[1..1]	CodeSet		2353
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2354
	Amount <Amt>	[0..7]	Amount	C2	2354
	Rate <Rate>	[0..1]	Rate		2355
	Country <Ctry>	[1..1]	CodeSet	C12	2355
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2355
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2355
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2356
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2356
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2356
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2356
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2357
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2357

### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

### 13.4.9.15 ValuationStatistics <ValtnSttstcs>

*Presence:* [0..\*]

*Definition:* Information related to the price variations of an investment fund class.

*Impacted by:* C11 "CurrencyPredefinedPeriodsRule", C12 "CurrencyPriceChangeRule", C13 "CurrencyUserDefinedPeriodsRule"

**ValuationStatistics <ValtnSttstcs>** contains the following elements (see "ValuationStatistics3" on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1927
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1927
	Structured <Strd>	[1..1]	CodeSet		1928
	AdditionalInformation <AddtlInf>	[0..1]	Text		1929
	PriceChange <PricChng>	[1..1]		C5, C6	1929
	Amount <Amt>	[0..1]	Amount	C2	1930
	AmountSign <AmtSgn>	[0..1]	Indicator		1930
	Rate <Rate>	[0..1]	Rate		1930
	Yield <Yld>	[0..1]	Rate		1930
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1930
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1931
	Amount <Amt>	[1..1]	Amount	C2	1931
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1932
	Amount <Amt>	[1..1]	Amount	C2	1932
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1932
	Amount <Amt>	[0..1]	Amount	C2	1933
	AmountSign <AmtSgn>	[0..1]	Indicator		1933
	Rate <Rate>	[0..1]	Rate		1933
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1933
	Amount <Amt>	[0..1]	Amount	C2	1934
	AmountSign <AmtSgn>	[0..1]	Indicator		1934
	Rate <Rate>	[0..1]	Rate		1934
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1934
	Amount <Amt>	[0..1]	Amount	C2	1935
	AmountSign <AmtSgn>	[0..1]	Indicator		1935
	Rate <Rate>	[0..1]	Rate		1935
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1936
	Period <Prd>	[1..1]	±		1936
	HighestPriceValue <HghstPricVal>	[0..1]			1936
	Amount <Amt>	[1..1]	Amount	C2	1936

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			1937
	Amount <Amt>	[1..1]	Amount	C2	1937
	PriceChange <PricChng>	[0..1]		C5, C6	1937
	Amount <Amt>	[0..1]	Amount	C2	1938
	AmountSign <AmtSgn>	[0..1]	Indicator		1938
	Rate <Rate>	[0..1]	Rate		1938
	Yield <Yld>	[0..1]	Rate		1938

#### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

#### 13.4.9.16 PerformanceDetails <PrfrmncDtls>

*Presence:* [0..1]

*Definition:* Factors that give indications about the performance of a fund.

*Impacted by:* C1 "AccumulationPeriodRule"

**PerformanceDetails <PrfrmncDtls>** contains the following elements (see "PerformanceFactors1" on page 1922 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1922
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1922
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1922
	NormalPerformance <NrmIPrfrmnc>	[0..1]	Quantity		1923

**Constraints**

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

## 13.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 14      **reda.002.001.04**

## **PriceReportCancellationV04**

### 14.1    **MessageDefinition Functionality**

#### SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.

#### USAGE

The PriceReportCancellation message is used to either:

- cancel an entire PriceReport that was previously sent (by quoting the business reference of the original price report in the PriceReportIdentification element), or,
- cancel one or more individual prices from a previously sent price report (by using the PriceDetailsToBeCancelled sequence).

Technically, it is possible to cancel all the prices individually by using the PriceDetailsToBeCancelled sequence, but this is not recommended.

The cancellation should not contain the cancellation of prices for more than one NAV date.

#### Outline

The PriceReportCancellationV04 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies a message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MessagePagination  
Pagination of the message.
- E. PriceReportIdentification  
Unique and unambiguous identifier for the price report, as assigned by the reporting party.
- F. CancellationIdentification  
Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.
- G. CancellationReason

Reason for the cancellation.

H. ExpectedPriceCorrectionDate

Date or date and time the price will be corrected.

I. CompletePriceCancellation

Indicates whether or not all the prices of the referenced price report are cancelled.

J. CancelledPriceValuationDetails

Details of prices to be cancelled.

K. Extension

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

## 14.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRptCxl>	[1..1]		C9, C10	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		180
	<b>PoolReference</b> <PoolRef>	[0..1]	±		181
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		181
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		181
	<b>PriceReportIdentification</b> <PricRptId>	[1..1]	Text		181
	<b>CancellationIdentification</b> <CxlId>	[1..1]	Text		182
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		182
	<b>ExpectedPriceCorrectionDate</b> <XpctdPricCrctnDt>	[0..1]	±		182
	<b>CompletePriceCancellation</b> <CmpltPricCxl>	[1..1]	Indicator		182
	<b>CancelledPriceValuationDetails</b> <CancPricValtnDtls>	[0..*]	±		182
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	183

## 14.3 Constraints

**C1 AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

**C2 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.

**C3 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C4 AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**C5 AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**C6 AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**C7 AnyBIC**

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

**C8 CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

**C9 CompletePriceCancellation1Rule**

If CompletePriceCancellation is "false" or "0" (No), then one or more instances of CancelledPriceValuationDetails must be present.

On Condition

/CompletePriceCancellation is equal to value 'False'

Following Must be True

/CancelledPriceValuationDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C10 CompletePriceCancellation2Rule**

If CompletePriceCancellation is "true" or "1" (Yes), then CancelledPriceValuationDetails must not be present.

On Condition

/CompletePriceCancellation is equal to value 'True'

Following Must be True

/CancelledPriceValuationDetails[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C11 Country**

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

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

**C14 CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

**C15 CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

**C16 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C17 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C18 OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

**C19 PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

## 14.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 14.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see ["MessageIdentification1"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571



## 14.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 14.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 14.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 14.4.5 PriceReportIdentification <PricRptId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the price report, as assigned by the reporting party.

*Datatype:* ["Max35Text"](#) on page 2837

## 14.4.6 CancellationIdentification <CxIId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

*Datatype:* "Max35Text" on page 2837

## 14.4.7 CancellationReason <CxIRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max350Text" on page 2837

## 14.4.8 ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>

*Presence:* [0..1]

*Definition:* Date or date and time the price will be corrected.

**ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>** contains one of the following elements (see "DateAndDateTime1Choice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

## 14.4.9 CompletePriceCancellation <CmpltPricCxl>

*Presence:* [1..1]

*Definition:* Indicates whether or not all the prices of the referenced price report are cancelled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

## 14.4.10 CancelledPriceValuationDetails <CancPricValtnDtls>

*Presence:* [0..\*]

*Definition:* Details of prices to be cancelled.

**CancelledPriceValuationDetails <CancPricValtnDtls>** contains the following elements (see "PriceReport3" on page 2365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2366
	Identification <Id>	[0..1]	Text		2366
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2367
	NAVDateTime <NAVDTm>	[1..1]	±		2367
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2367
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2368
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	2368
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2369
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2369
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2369
	ValuationType <ValtnTp>	[1..1]	CodeSet		2369
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2370
	OfficialValuationIndicator <OfcclValtnInd>	[1..1]	Indicator		2370
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2371
	PriceDetails <PricDtls>	[0..*]	±	C8	2371
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2373
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2375

### 14.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 15      **reda.004.001.07**

## **FundReferenceDataReportV07**

### 15.1    **MessageDefinition Functionality**

#### Scope

The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.

#### Usage

A FundReferenceDataReport message should be prepared for each class of unit/share (for which an individual ISIN should have been allocated), in respect of its "home" market. Each time the fund data changes, the 'product provider' must provide the data to a product user, for example, the distributors, by sending a new funds reference data report. A single message may contain more than one report. When the FundReferenceDataReport message is sent to provide updated reference data, the message overwrites the previously sent data.

The FundReferenceDataReport message may be used in various models or environments:

- in a standalone environment, for example, initiated by the Report Provider (fund promoter, fund manager and / or reference data vendors) sent on a regular frequency, or when changes are needed.
- in a request / response environment, with the InvestmentFundReportRequest, for example, initiated by report users (data vendors, professional investors, regulators or investment fund distributors) in enabling the user to control the flow and updates of information.
- in a reference data vendor environment, for example, market infrastructure and reference data providers may collate and store all fund reference data information centrally for access via database or regular distribution information. A reference data vendor may assume the role of both report provider and report user.

The FundReferenceDataReport message may be used to provide data concerning product governance, such as target market data, and a breakdown of the costs and fees in the context of MiFID II, with respect to the European MiFID Template (EMT).

#### Outline

The FundReferenceDataReportV07 MessageDefinition is composed of 5 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

##### B. PreviousReference

Reference to a linked message that was previously sent.

##### C. RelatedReference

Reference to a linked message that was previously received.

D. FundReferenceDataReportIdentification

Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

E. Report

Fund reference data.

## 15.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndRefDataRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		194
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		195
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		195
	<b>FundReferenceDataReportIdentification</b> <FndRefDataRptId>	[0..1]	Text		195
	<b>Report</b> <Rpt>	[1..*]		C4, C5	195
	<b>Identification</b> <Id>	[0..1]	Text		202
	<b>Version</b> <Vrsn>	[0..1]	±		202
	<b>AuthorisedProxy</b> <AuthrsdPrxy>	[0..1]	±		202
	<b>GeneralReferenceDate</b> <GnlRefDt>	[1..1]	Date		203
	<b>TargetMarketIndicator</b> <TrgtMktInd>	[0..1]	Indicator		203
	<b>ExAnteIndicator</b> <ExAnteInd>	[0..1]	Indicator		203
	<b>ExPostIndicator</b> <ExPstInd>	[0..1]	Indicator		203
	<b>SecurityIdentification</b> <SctyId>	[1..1]			204
	<b>Identification</b> <Id>	[1..1]		C12, C13, C21, C22, C27	206
	<b>OtherIdentification</b> <OthrId>	[0..*]			207
	<b>Identification</b> <Id>	[1..1]	Text		207
	<b>Suffix</b> <Sfx>	[0..1]	Text		207
	<b>Type</b> <Tp>	[1..1]	±		207
	<b>Description</b> <Desc>	[0..1]	Text		208
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		208
	<b>Name</b> <Nm>	[1..1]	Text		208
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		208
	<b>ClassType</b> <ClsTp>	[0..1]	Text		208
	<b>UmbrellaName</b> <UmbrllNm>	[0..1]	Text		208
	<b>NewUmbrella</b> <NewUmbrll>	[0..1]	Indicator		208
	<b>ClassificationType</b> <ClssfctnTp>	[0..1]	±		209
	<b>BaseCurrency</b> <BaseCcy>	[0..1]	CodeSet	C1	209

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C6	209
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C6	209
	<b>ProductType</b> <PdctTp>	[0..1]			210
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		210
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		210
	<b>Issuer</b> <Issr>	[0..1]	±		211
	<b>IssuerProductGovernanceProcess</b> <IssrPdctGovncProc>	[0..1]	±		211
	<b>ProductCategory</b> <PdctCtgy>	[0..1]	Text		211
	<b>ProductCategoryGermany</b> <PdctCtgyDE>	[0..1]	Text		212
	<b>NotionalOrUnitBased</b> <NtnlOrUnitBased>	[0..1]			212
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		212
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		212
	<b>QuotationType</b> <QtnTp>	[0..1]	±		213
	<b>LeveragedOrContingentLiability</b> <LvrgdOrCntngntLbly>	[0..1]	Indicator		213
	<b>NoRetrocessionIndicator</b> <NoRtrcssnInd>	[0..1]	Indicator		213
	<b>ExPostCostCalculationBasis</b> <ExPstCostClctnBsis>	[0..1]			214
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		214
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		214
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		214
	<b>FundParties</b> <FndPties>	[0..1]	±		215
	<b>MainFundOrderDesk</b> <MainFndOrdDrDsk>	[0..1]	±		215
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		215
	<b>FundDetails</b> <FndDtls>	[0..1]	±		216
	<b>ValuationDealingCharacteristics</b> <ValtnDealgChrtcs>	[0..1]	±		218
	<b>InvestmentRestrictions</b> <InvstmtRstrctns>	[0..1]	±		218
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C8	219
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C9	221
	<b>SwitchProcessingCharacteristics</b> <SwchPrcgChrtcs>	[0..1]	±	C10	222
	<b>PlanCharacteristics</b> <PlanChrtcs>	[0..*]	±	C20	223
	<b>PaymentInstrument</b> <PmtInstrm>	[0..*]	±		224
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]			225



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	225
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			225
	<b>AccountIdentification</b> <AcctId>	[1..1]			226
	<b>Identification</b> <Id>	[1..1]	±		226
	<b>Name</b> <Nm>	[0..1]	Text		226
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	226
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		227
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			227
	<b>AccountIdentification</b> <AcctId>	[1..1]			227
	<b>Identification</b> <Id>	[1..1]	±		227
	<b>Name</b> <Nm>	[0..1]	Text		228
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	228
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		228
	<b>LocalMarketAnnex</b> <LclMktAnx>	[0..*]			228
	<b>Country</b> <Ctry>	[1..*]	CodeSet	C6	229
	<b>LocalOrderDesk</b> <LclOrdDsk>	[1..1]	±		230
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C8	230
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C11	232
	<b>SwitchProcessingCharacteristics</b> <SwchPrcgChrtcs>	[0..1]	±	C10	233
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]			234
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	235
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			235
	<b>AccountIdentification</b> <AcctId>	[1..1]			236
	<b>Identification</b> <Id>	[1..1]	±		236
	<b>Name</b> <Nm>	[0..1]	Text		236
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	236
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		237
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			237
	<b>AccountIdentification</b> <AcctId>	[1..1]			237
	<b>Identification</b> <Id>	[1..1]	±		237
	<b>Name</b> <Nm>	[0..1]	Text		238

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	238
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		238
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		238
	<b>TargetMarket</b> <TrgtMkt>	[0..1]			239
	<b>ReferenceDate</b> <RefDt>	[0..1]	Date		241
	<b>InvestorType</b> <InvstrTp>	[0..1]			241
	<b>InvestorTypeRetail</b> <InvstrTpRtl>	[0..1]	CodeSet		241
	<b>InvestorTypeProfessional</b> <InvstrTpPrfssnl>	[0..1]	±		242
	<b>InvestorTypeEligibleCounterparty</b> <InvstrTpElgblCtrPty>	[0..1]	CodeSet		242
	<b>Other</b> <Othr>	[0..*]	±		242
	<b>KnowledgeAndOrExperience</b> <KnwldgAndOrExprnc>	[0..1]			243
	<b>BasicInvestor</b> <BsicInvstr>	[0..1]	CodeSet		243
	<b>InformedInvestor</b> <InfrmdInvstr>	[0..1]	CodeSet		243
	<b>AdvancedInvestor</b> <AdvncdInvstr>	[0..1]	CodeSet		244
	<b>ExpertInvestorGermany</b> <ExprtInvstrDE>	[0..1]	CodeSet		244
	<b>Other</b> <Othr>	[0..*]	±		244
	<b>AbilityToBearLosses</b> <AbltyToBearLosses>	[0..1]			245
	<b>NoCapitalLoss</b> <NoCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLoss</b> <LtdCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLossLevel</b> <LtdCptlLossLvl>	[0..1]	Rate		246
	<b>NoCapitalGuarantee</b> <NoCptlGrnt>	[0..1]	CodeSet		246
	<b>LossBeyondCapital</b> <LossByndCptl>	[0..1]	CodeSet		246
	<b>Other</b> <Othr>	[0..*]	±		246
	<b>RiskTolerance</b> <RskTlrnce>	[0..1]			247
	<b>RiskTolerancePRIIPSMethodology</b> <RskTlrncePRIIPSMthdly>	[0..1]	Quantity		247
	<b>RiskToleranceUCITSMethodology</b> <RskTlrnceUCITSMthdly>	[0..1]	Quantity		247
	<b>RiskToleranceInternal</b> <RskTlrnceIntl>	[0..1]	CodeSet		247
	<b>RiskToleranceForNonPRIIPSAAndNonUCITSSpain</b> <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		248
	<b>NotForInvestorsWithTheLowestRiskToleranceGermany</b> <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		248
	<b>Other</b> <Othr>	[0..*]	±		248

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientObjectivesAndNeeds</b> <CIntObjctvsAndNeeds>	[0..1]			248
	<b>ReturnProfilePreservation</b> <RtrPrflPrsrvtn>	[0..1]	CodeSet		249
	<b>ReturnProfileGrowth</b> <RtrPrflGrwth>	[0..1]	CodeSet		249
	<b>ReturnProfileIncome</b> <RtrPrflIncm>	[0..1]	CodeSet		250
	<b>ReturnProfileHedging</b> <RtrPrflHdgg>	[0..1]	CodeSet		250
	<b>OptionOrLeveragedReturnProfile</b> <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		250
	<b>ReturnProfilePensionSchemeGermany</b> <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		250
	<b>MinimumHoldingPeriod</b> <MinHldgPrd>	[0..1]	±		251
	<b>SustainabilityPreferences</b> <SstnbltyPrefs>	[0..1]	CodeSet		251
	<b>OtherSpecificInvestmentNeed</b> <OthrSpfcInvstmtNeed>	[0..1]	±		251
	<b>Other</b> <Othr>	[0..*]	±		252
	<b>Other</b> <Othr>	[0..*]	±		252
	<b>DistributionStrategy</b> <DstrbtnStrtgy>	[0..1]	±		252
	<b>CostsAndCharges</b> <CostsAndChrgs>	[0..2]	±	C16, C19	252
	<b>AdditionalInformationUKMarket</b> <AddtlInfUKMkt>	[0..1]			253
	<b>FinancialInstrumentTransactionCostsExAnteUK</b> <FinInstrmTxCostsExAnteUK>	[0..1]	Rate		254
	<b>FinancialInstrumentTransactionCostsExPostUK</b> <FinInstrmTxCostsExPstUK>	[0..1]	Rate		254
	<b>ValueForMoney</b> <ValForMny>	[0..1]		C3, C28, C29, C30	254
	<b>EMTDataReportingVFMUK</b> <EMTDataRptgVFMUK>	[0..1]	CodeSet		256
	<b>AssessmentOfValueRequiredUnderCOLLUK</b> <AssmntOfValReqrUdrCOLLUK>	[0..1]	CodeSet		256
	<b>OutcomeOfCOLLAssessmentOfValueUK</b> <OutcmOfCOLLAssmntOfValUK>	[0..1]	CodeSet		256
	<b>OutcomeOfPRINValueAssessmentOrReviewUK</b> <OutcmOfPRINValAssmntOrRvwUK>	[0..1]	CodeSet		256
	<b>OtherReviewRelatedToValueAndOrChargesUK</b> <OthrRvwRltdToValAndOrChrgsUK>	[0..1]	CodeSet		257
	<b>FurtherInformationUK</b> <FrthrInfUK>	[0..1]	Text		257
	<b>ReviewDateUK</b> <RvwDtUK>	[0..1]	Date		257
	<b>ReviewNextDueUK</b> <RvwNxtDueUK>	[0..1]	Date		257
	<b>Extension</b> <Xtnsn>	[0..*]	±	C17	257

## 15.3 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 **AssessmentOfValueRule**

If EMTDataReporting is present, then AssessmentOfValueRequiredUnderCOLLUK must be present.

### C4 **CostsAndCharges1Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

### C5 **CostsAndCharges2Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

### C6 **Country**

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

### C7 **CurrencyAmount**

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

Note: The decimal separator is a dot.

### C8 **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

### C9 **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

### C10 **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

**C11 DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

**C12 DescriptionPresenceRule**

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

**C13 DescriptionUsageRule**

Description must be used alone as the last resort.

**C14 ExAnteOrExPost1Guideline**

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.

**C15 ExAnteOrExPost2Guideline**

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

**C16 ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

**C17 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C18 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C19 IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

**C20 InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

**C21 ISINGuideline**

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

**C22 ISINPresenceRule**

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

**C23 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

**C24 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

**C25 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

**C26 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

**C27 OtherIdentificationPresenceRule**

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

**C28 OtherReviewRelatedToValueAndOrChargesUKRule**

If AssessmentOfValueRequiredUnderCOLLUK value is NSCO, and OutcomeOfPRINValueAssessmentOrReviewUK is absent, then OtherReviewRelatedToValueAndOrChargesUK must be present.

**C29 OutcomeOfCOLLAssessmentOfValueRule**

If AssessmentOfValueRequiredUnderCOLLUK value is YSCO then OutcomeOfCOLLAssessmentOfValueUK must be present.

**C30 OutcomeOfPRINValueAssessmentRule**

If AssessmentOfValueRequiredUnderCOLLUK value is NSCO, and OtherReviewRelatedToValueAndOrChargesUK is absent, then OutcomeOfPRINValueAssessmentOrReviewUK must be present.

**C31 SignAmount1Rule**

If Amount is not present, then Sign is not allowed.

**C32 SignAmount2Rule**

Sign must only be used to express a negative value for Amount.

**C33 TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

**C34 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

**C35 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

**C36 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

## 15.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 15.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 15.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 15.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 15.4.4 FundReferenceDataReportIdentification <FndRefDataRptId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

## 15.4.5 Report <Rpt>

*Presence:* [1..\*]

*Definition:* Fund reference data.

*Impacted by:* C4 "CostsAndCharges1Guideline", C5 "CostsAndCharges2Guideline"



Report <Rpt> contains the following FundReferenceDataReport5 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]	Text		202
	<b>Version</b> <Vrsn>	[0..1]	±		202
	<b>AuthorisedProxy</b> <AuthrsdPrxy>	[0..1]	±		202
	<b>GeneralReferenceDate</b> <GnlRefDt>	[1..1]	Date		203
	<b>TargetMarketIndicator</b> <TrgtMktInd>	[0..1]	Indicator		203
	<b>ExAntelIndicator</b> <ExAntelInd>	[0..1]	Indicator		203
	<b>ExPostIndicator</b> <ExPstInd>	[0..1]	Indicator		203
	<b>SecurityIdentification</b> <SctyId>	[1..1]			204
	<b>Identification</b> <Id>	[1..1]		C12, C13, C21, C22, C27	206
	<b>OtherIdentification</b> <OthrId>	[0..*]			207
	<b>Identification</b> <Id>	[1..1]	Text		207
	<b>Suffix</b> <Sfx>	[0..1]	Text		207
	<b>Type</b> <Tp>	[1..1]	±		207
	<b>Description</b> <Desc>	[0..1]	Text		208
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		208
	<b>Name</b> <Nm>	[1..1]	Text		208
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		208
	<b>ClassType</b> <ClsTp>	[0..1]	Text		208
	<b>UmbrellaName</b> <UmbrllNm>	[0..1]	Text		208
	<b>NewUmbrella</b> <NewUmbrll>	[0..1]	Indicator		208
	<b>ClassificationType</b> <ClsstctnTp>	[0..1]	±		209
	<b>BaseCurrency</b> <BaseCcy>	[0..1]	CodeSet	C1	209
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C6	209
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C6	209
	<b>ProductType</b> <PdctTp>	[0..1]			210
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		210
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		210
	<b>Issuer</b> <Issr>	[0..1]	±		211

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerProductGovernanceProcess</b> <IssrPdctGovncPrc>	[0..1]	±		211
	<b>ProductCategory</b> <PdctCtgy>	[0..1]	Text		211
	<b>ProductCategoryGermany</b> <PdctCtgyDE>	[0..1]	Text		212
	<b>NotionalOrUnitBased</b> <NtnlOrUnitBased>	[0..1]			212
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		212
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		212
	<b>QuotationType</b> <QtnTp>	[0..1]	±		213
	<b>LeveragedOrContingentLiability</b> <LvrgdOrCntngntLbly>	[0..1]	Indicator		213
	<b>NoRetrocessionIndicator</b> <NoRtrcssnInd>	[0..1]	Indicator		213
	<b>ExPostCostCalculationBasis</b> <ExPstCostClctnBsis>	[0..1]			214
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		214
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		214
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		214
	<b>FundParties</b> <FndPties>	[0..1]	±		215
	<b>MainFundOrderDesk</b> <MainFndOrdrDsk>	[0..1]	±		215
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		215
	<b>FundDetails</b> <FndDtls>	[0..1]	±		216
	<b>ValuationDealingCharacteristics</b> <ValtnDealgChrtcs>	[0..1]	±		218
	<b>InvestmentRestrictions</b> <InvstmtRstrctns>	[0..1]	±		218
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C8	219
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C9	221
	<b>SwitchProcessingCharacteristics</b> <SwtchPrcgChrtcs>	[0..1]	±	C10	222
	<b>PlanCharacteristics</b> <PlanChrtcs>	[0..*]	±	C20	223
	<b>PaymentInstrument</b> <PmtInstrm>	[0..*]	±		224
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]			225
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	225
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			225
	<b>AccountIdentification</b> <AcctId>	[1..1]			226
	<b>Identification</b> <Id>	[1..1]	±		226
	<b>Name</b> <Nm>	[0..1]	Text		226

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	226
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		227
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			227
	<b>AccountIdentification</b> <AcctId>	[1..1]			227
	<b>Identification</b> <Id>	[1..1]	±		227
	<b>Name</b> <Nm>	[0..1]	Text		228
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	228
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		228
	<b>LocalMarketAnnex</b> <LclMktAnx>	[0..*]			228
	<b>Country</b> <Ctry>	[1..*]	CodeSet	C6	229
	<b>LocalOrderDesk</b> <LclOrdrDsk>	[1..1]	±		230
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C8	230
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C11	232
	<b>SwitchProcessingCharacteristics</b> <SwchPrcgChrtcs>	[0..1]	±	C10	233
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]			234
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	235
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			235
	<b>AccountIdentification</b> <AcctId>	[1..1]			236
	<b>Identification</b> <Id>	[1..1]	±		236
	<b>Name</b> <Nm>	[0..1]	Text		236
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	236
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		237
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			237
	<b>AccountIdentification</b> <AcctId>	[1..1]			237
	<b>Identification</b> <Id>	[1..1]	±		237
	<b>Name</b> <Nm>	[0..1]	Text		238
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	238
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		238
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		238
	<b>TargetMarket</b> <TrgtMkt>	[0..1]			239
	<b>ReferenceDate</b> <RefDt>	[0..1]	Date		241

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InvestorType</b> <InvstrTp>	[0..1]			241
	<b>InvestorTypeRetail</b> <InvstrTpRtl>	[0..1]	CodeSet		241
	<b>InvestorTypeProfessional</b> <InvstrTpPrfssnl>	[0..1]	±		242
	<b>InvestorTypeEligibleCounterparty</b> <InvstrTpElgblCtrPty>	[0..1]	CodeSet		242
	<b>Other</b> <Othr>	[0..*]	±		242
	<b>KnowledgeAndOrExperience</b> <KnwldgAndOrExprnc>	[0..1]			243
	<b>BasicInvestor</b> <BsicInvstr>	[0..1]	CodeSet		243
	<b>InformedInvestor</b> <InfrmdInvstr>	[0..1]	CodeSet		243
	<b>AdvancedInvestor</b> <AdvncdInvstr>	[0..1]	CodeSet		244
	<b>ExpertInvestorGermany</b> <ExprtInvstrDE>	[0..1]	CodeSet		244
	<b>Other</b> <Othr>	[0..*]	±		244
	<b>AbilityToBearLosses</b> <AbltyToBearLosses>	[0..1]			245
	<b>NoCapitalLoss</b> <NoCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLoss</b> <LtdCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLossLevel</b> <LtdCptlLossLvl>	[0..1]	Rate		246
	<b>NoCapitalGuarantee</b> <NoCptlGrnt>	[0..1]	CodeSet		246
	<b>LossBeyondCapital</b> <LossByndCptl>	[0..1]	CodeSet		246
	<b>Other</b> <Othr>	[0..*]	±		246
	<b>RiskTolerance</b> <RskTlrnce>	[0..1]			247
	<b>RiskTolerancePRIIPSMethodology</b> <RskTlrncePRIIPSMthdly>	[0..1]	Quantity		247
	<b>RiskToleranceUCITSMethodology</b> <RskTlrnceUCITSMthdly>	[0..1]	Quantity		247
	<b>RiskToleranceInternal</b> <RskTlrnceIntl>	[0..1]	CodeSet		247
	<b>RiskToleranceForNonPRIIPSAAndNonUCITSSpain</b> <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		248
	<b>NotForInvestorsWithTheLowestRiskToleranceGermany</b> <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		248
	<b>Other</b> <Othr>	[0..*]	±		248
	<b>ClientObjectivesAndNeeds</b> <ClntObjctvsAndNeeds>	[0..1]			248
	<b>ReturnProfilePreservation</b> <RtrPrflPrsrvtn>	[0..1]	CodeSet		249
	<b>ReturnProfileGrowth</b> <RtrPrflGrwth>	[0..1]	CodeSet		249
	<b>ReturnProfileIncome</b> <RtrPrflIncm>	[0..1]	CodeSet		250

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReturnProfileHedging</b> <RtrPrflHdgg>	[0..1]	CodeSet		250
	<b>OptionOrLeveragedReturnProfile</b> <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		250
	<b>ReturnProfilePensionSchemeGermany</b> <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		250
	<b>MinimumHoldingPeriod</b> <MinHldgPrd>	[0..1]	±		251
	<b>SustainabilityPreferences</b> <SstnblyPrefs>	[0..1]	CodeSet		251
	<b>OtherSpecificInvestmentNeed</b> <OthrSpfcInvstmtNeed>	[0..1]	±		251
	<b>Other</b> <Othr>	[0..*]	±		252
	<b>Other</b> <Othr>	[0..*]	±		252
	<b>DistributionStrategy</b> <DstrbtnStrtgy>	[0..1]	±		252
	<b>CostsAndCharges</b> <CostsAndChrgs>	[0..2]	±	C16, C19	252
	<b>AdditionalInformationUKMarket</b> <AddtlInfUKMkt>	[0..1]			253
	<b>FinancialInstrumentTransactionCostsExAnteUK</b> <FinInstrmTxCostsExAnteUK>	[0..1]	Rate		254
	<b>FinancialInstrumentTransactionCostsExPostUK</b> <FinInstrmTxCostsExPstUK>	[0..1]	Rate		254
	<b>ValueForMoney</b> <ValForMny>	[0..1]		C3, C28, C29, C30	254
	<b>EMTDataReportingVFMUK</b> <EMTDataRptgVFMUK>	[0..1]	CodeSet		256
	<b>AssessmentOfValueRequiredUnderCOLL</b> <AssmntOfValReqrdUdrCOLL>	[0..1]	CodeSet		256
	<b>OutcomeOfCOLLAssessmentOfValueUK</b> <OutcmOfCOLLAssmntOfValUK>	[0..1]	CodeSet		256
	<b>OutcomeOfPRINValueAssessmentOrReviewUK</b> <OutcmOfPRINValAssmntOrRvwUK>	[0..1]	CodeSet		256
	<b>OtherReviewRelatedToValueAndOrChargesUK</b> <OthrRvwRltdToValAndOrChrgsUK>	[0..1]	CodeSet		257
	<b>FurtherInformationUK</b> <FrthrInfUK>	[0..1]	Text		257
	<b>ReviewDateUK</b> <RvwDtUK>	[0..1]	Date		257
	<b>ReviewNextDueUK</b> <RvwNxtDueUK>	[0..1]	Date		257
	<b>Extension</b> <Xtnsn>	[0..*]	±	C17	257

**Constraints**

- **CostsAndCharges1Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

- **CostsAndCharges2Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

**15.4.5.1 Identification <Id>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a report within a fund reference data report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

**15.4.5.2 Version <Vrsn>**

*Presence:* [0..1]

*Definition:* Version Number. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00001 and is the version of the template for which the EMT data is provided.

**Version <Vrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

**15.4.5.3 AuthorisedProxy <AuthrsdPrxy>**

*Presence:* [0..1]

*Definition:* Party that reports the data on behalf of the issuer and the entry point e-mail address for contact. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) references 00002, 00003 and 00004.

**AuthorisedProxy <AuthrsdPrxy>** contains the following elements (see "[ContactAttributes6](#)" on page 2034 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2035
	PostalAddress <PstlAdr>	[0..1]	±		2035
	PhoneNumber <PhneNb>	[0..1]	Text		2035
	FaxNumber <FaxNb>	[0..1]	Text		2036
	EmailAddress <EmailAdr>	[0..1]	Text		2036
	URLAddress <URLAdr>	[0..1]	Text		2036
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2036
	LEI <LEI>	[0..1]	IdentifierSet		2036

#### 15.4.5.4 GeneralReferenceDate <GnlRefDt>

*Presence:* [1..1]

*Definition:* Date to which the data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00050.

*Datatype:* "[ISODate](#)" on page 2822

#### 15.4.5.5 TargetMarketIndicator <TrgtMktInd>

*Presence:* [0..1]

*Definition:* Indicates whether target market data is included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00006.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 15.4.5.6 ExAnteIndicator <ExAnteInd>

*Presence:* [0..1]

*Definition:* Indicates whether ex ante costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00007.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 15.4.5.7 ExPostIndicator <ExPstInd>

*Presence:* [0..1]

*Definition:* Indicates whether ex post costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00008.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### **15.4.5.8 SecurityIdentification <SctyId>**

*Presence:* [1..1]

*Definition:* Identification of the security.



**SecurityIdentification <Sctyld>** contains the following **SecurityIdentification47** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]		C12, C13, C21, C22, C27	206
	<b>OtherIdentification</b> <OthrId>	[0..*]			207
	<b>Identification</b> <Id>	[1..1]	Text		207
	<b>Suffix</b> <Sfx>	[0..1]	Text		207
	<b>Type</b> <Tp>	[1..1]	±		207
	<b>Description</b> <Desc>	[0..1]	Text		208
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		208
	<b>Name</b> <Nm>	[1..1]	Text		208
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		208
	<b>ClassType</b> <ClsTp>	[0..1]	Text		208
	<b>UmbrellaName</b> <UmbrllNm>	[0..1]	Text		208
	<b>NewUmbrella</b> <NewUmbrll>	[0..1]	Indicator		208
	<b>ClassificationType</b> <ClssfctnTp>	[0..1]	±		209
	<b>BaseCurrency</b> <BaseCcy>	[0..1]	CodeSet	C1	209
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C6	209
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C6	209
	<b>ProductType</b> <PdctTp>	[0..1]			210
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		210
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		210
	<b>Issuer</b> <Issr>	[0..1]	±		211
	<b>IssuerProductGovernanceProcess</b> <IssrPdctGovncPrc>	[0..1]	±		211
	<b>ProductCategory</b> <PdctCtgy>	[0..1]	Text		211
	<b>ProductCategoryGermany</b> <PdctCtgyDE>	[0..1]	Text		212
	<b>NotionalOrUnitBased</b> <NtnlOrUnitBased>	[0..1]			212
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		212
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		212
	<b>QuotationType</b> <QtnTp>	[0..1]	±		213
	<b>LeveragedOrContingentLiability</b> <LvrgdOrCntngntLbilty>	[0..1]	Indicator		213

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NoRetrocessionIndicator</b> <NoRtrcssnInd>	[0..1]	Indicator		213
	<b>ExPostCostCalculationBasis</b> <ExPstCostClctnBsis>	[0..1]			214
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		214
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		214
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		214

#### 15.4.5.8.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security, typically by an ISIN.

*Impacted by:* C12 "DescriptionPresenceRule", C13 "DescriptionUsageRule", C21 "ISINGuideline", C22 "ISINPresenceRule", C27 "OtherIdentificationPresenceRule"

**Identification <Id>** contains the following **SecurityIdentification40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OtherIdentification</b> <OthrId>	[0..*]			207
	<b>Identification</b> <Id>	[1..1]	Text		207
	<b>Suffix</b> <Sfx>	[0..1]	Text		207
	<b>Type</b> <Tp>	[1..1]	±		207
	<b>Description</b> <Desc>	[0..1]	Text		208
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		208

#### 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

```

#### 15.4.5.8.1.1 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
	<b>Identification</b> <Id>	[1..1]	Text		207
	<b>Suffix</b> <Sfx>	[0..1]	Text		207
	<b>Type</b> <Tp>	[1..1]	±		207

##### 15.4.5.8.1.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 2837

##### 15.4.5.8.1.1.2 Suffix <Sfx>

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* "Max16Text" on page 2836

##### 15.4.5.8.1.1.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "[IdentificationSource3Choice](#)" on page 1573 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1573
Or}	Proprietary <Prtry>	[1..1]	Text		1573

**15.4.5.8.1.2 Description <Desc>**

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 2836

**15.4.5.8.1.3 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 2829

**15.4.5.8.2 Name <Nm>**

*Presence:* [1..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

**15.4.5.8.3 ShortName <ShrtNm>**

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

**15.4.5.8.4 ClassType <ClsTp>**

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837

**15.4.5.8.5 UmbrellaName <UmbrllNm>**

*Presence:* [0..1]

*Definition:* Name of the umbrella fund in which the financial instrument is contained.

*Datatype:* "Max35Text" on page 2837

**15.4.5.8.6 NewUmbrella <NewUmbrll>**

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is part of a new umbrella.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 15.4.5.8.7 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "[SecurityClassificationType2Choice](#)" on page 1907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		1907
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1907

#### 15.4.5.8.8 BaseCurrency <BaseCcy>

*Presence:* [0..1]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyCode](#)" on page 2711

##### 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.

#### 15.4.5.8.9 CountryOfDomicile <CtryOfDmcl>

*Presence:* [0..1]

*Definition:* Country where the fund has legal domicile.

*Impacted by:* [C6 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2726

##### Constraints

- **Country**

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

#### 15.4.5.8.10 RegisteredDistributionCountry <RegdDstrbtnCtry>

*Presence:* [0..\*]

*Definition:* Country where the fund is registered for distribution.

*Impacted by:* [C6 "Country"](#)

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 15.4.5.8.11 ProductType <PdctTp>

*Presence:* [0..1]

*Definition:* Classification of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00060.

**ProductType <PdctTp>** contains one of the following **ProductStructure1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		210
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		210

##### 15.4.5.8.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Product structure expressed as a code.

*Datatype:* "ProductStructure1Code" on page 2778

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

##### 15.4.5.8.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Product structure expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 15.4.5.8.12 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00070.

**Issuer <Issr>** contains the following elements (see "[ContactAttributes5](#)" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 15.4.5.8.13 IssuerProductGovernanceProcess <IssrPdctGovncPrc>

*Presence:* [0..1]

*Definition:* Governance procedure that must be followed. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00075.

**IssuerProductGovernanceProcess <IssrPdctGovncPrc>** contains one of the following elements (see "[GovernanceProcess1Choice](#)" on page 1502 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1502
Or}	Proprietary <Prtry>	[1..1]	±		1502

#### 15.4.5.8.14 ProductCategory <PdctCtgy>

*Presence:* [0..1]

*Definition:* Designation of the product category or nature, for example, Pacific Equity, Equity Fund, Money Market Fund. If the product is a structured security product, the European Structured Investment

Products Association (EUSIPA) code should be used as defined in the scope of European MiFID Template (EMT) reference 00095.

*Datatype:* "Max140Text" on page 2836

#### 15.4.5.8.15 ProductCategoryGermany <PdctCtgyDE>

*Presence:* [0..1]

*Definition:* Designation of the respective product category or nature for Germany.

If the financial instrument is distributed in the German market, then the German classification of financial instruments code should be used. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00090.

*Datatype:* "Max140Text" on page 2836

#### 15.4.5.8.16 NotionalOrUnitBased <NtnlOrUnitBased>

*Presence:* [0..1]

*Definition:* Specifies whether the financial instrument is unit based or notional (nominal). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00085.

**NotionalOrUnitBased <NtnlOrUnitBased>** contains one of the following **NotionalOrUnitBased1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		212
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		212

##### 15.4.5.8.16.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of unit basis for a financial instrument expressed as a code.

*Datatype:* "NotionalOrUnitBased1Code" on page 2765

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

##### 15.4.5.8.16.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of unit basis for a financial instrument expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 15.4.5.8.17 QuotationType <QtnTp>

*Presence:* [0..1]

*Definition:* When the financial instrument is a structured security, specifies if the ex-ante and ex-post costs and charges are specified as an absolute figure, that is, a currency and amount, or as a percentage rate, related to the specific reference value.

When used in reference to MiFID, this is in the scope of the European MiFID Template reference 00096.

**QuotationType <QtnTp>** contains one of the following elements (see "[QuotationType1Choice](#)" on page 1505 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1506
Or}	Proprietary <Prtry>	[1..1]	±		1506

#### 15.4.5.8.18 LeveragedOrContingentLiability <LvrgdOrCntngntLbilty>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is leveraged or has contingent liability. This enables reporting on the depreciation of leveraged financial instruments or contingent liability transactions in accordance with Art. 62 of the MiFID II's Delegated Regulation as defined in the scope of European MiFID Template (EMT) reference 00100.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 15.4.5.8.19 NoRetrocessionIndicator <NoRtrcssnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the share class does not pay retrocession fees and commissions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00110.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**15.4.5.8.20 ExPostCostCalculationBasis <ExPstCostClctnBsis>***Presence:* [0..1]*Definition:* Specifies the basis for ex-post calculations. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00120.**ExPostCostCalculationBasis <ExPstCostClctnBsis>** contains one of the following **ExPostCostCalculationBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		214
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		214

**15.4.5.8.20.1 Code <Cd>***Presence:* [1..1]*Definition:* Ex post cost calculation basis expressed as a code.*Datatype:* "ExPostCostCalculationBasis1Code" on page 2735

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

**15.4.5.8.20.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Ex post cost calculation basis expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**15.4.5.8.21 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the security.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 15.4.5.9 FundParties <FndPties>

*Presence:* [0..1]

*Definition:* Parties related to the investment fund.

**FundParties <FndPties>** contains the following elements (see "[FundParties1](#)" on page 2072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guarnt>	[0..1]	±		2072
	Auditor <Audtr>	[0..1]	±		2073
	Trustee <Trstee>	[0..1]	±		2073
	OtherParty <OthrPty>	[0..*]	±		2074

#### 15.4.5.10 MainFundOrderDesk <MainFndOrdrDsk>

*Presence:* [0..1]

*Definition:* Principal entity appointed by the fund, to which orders should be submitted. Usually located in the country of domicile.

**MainFundOrderDesk <MainFndOrdrDsk>** contains the following elements (see "[OrderDesk1](#)" on page 2027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		2027
	ClosureDates <ClsrDts>	[0..*]	Date		2027
	AdditionalInformation <AddtlInf>	[0..*]	±		2027

#### 15.4.5.11 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..1]

*Definition:* Company that is responsible for the management and operation of the fund, for example, determines the investment strategy, appoints the service providers, and makes major decisions for the fund. It is usually responsible for the distribution and marketing of the fund. For self-managed funds, this will often be a separate promoter or sponsor of the fund.

**FundManagementCompany <FndMgmtCpny>** contains the following elements (see "ContactAttributes5" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 15.4.5.12 FundDetails <FndDtls>

*Presence:* [0..1]

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

**FundDetails <FndDtIs>** contains the following elements (see "FinancialInstrument96" on page 1472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScities>	[0..1]	Indicator		1473
	DematerialisedBearerSecurities <DmtrlSdBrScities>	[0..1]	Indicator		1474
	PhysicalRegisteredSecurities <PhysRegdScities>	[0..1]	Indicator		1474
	DematerialisedRegisteredSecurities <DmtrlSdRegdScities>	[0..1]	Indicator		1474
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1474
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1474
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1475
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1475
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1476
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1476
	SwitchFee <SwitchFee>	[0..1]	Indicator		1476
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1476
	LaunchDate <LnchDt>	[0..1]	Date		1477
	FundEndDate <FndEndDt>	[0..1]	Date		1477
	TerminationDate <TermntnDt>	[0..1]	Date		1477
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1477
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1477
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1477
	MaturityDate <MtrtyDt>	[0..1]	Date		1477
	MaybeTerminatedEarly <MayBeTermntdEarly>	[0..1]	CodeSet		1478
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1478
	Equalisation <Equlstn>	[0..1]	Indicator		1478
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1478
	Authorised <Authrsd>	[0..1]	Indicator		1478
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1479
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1479
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1479
	AdditionalInformation <AddtlInf>	[0..*]	±		1479

### 15.4.5.13 ValuationDealingCharacteristics <ValtnDealgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to the instrument, that is, not to the market.

**ValuationDealingCharacteristics <ValtnDealgChrtcs>** contains the following elements (see "ValuationDealingProcessingCharacteristics3" on page 2376 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2376
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2377
	ValuationTime <ValtnTm>	[0..1]	Time		2377
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2377
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2377
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2377
	PriceMethod <PricMtd>	[0..1]	CodeSet		2377
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C1	2378
	AdditionalInformation <AddtlInf>	[0..*]	±		2378

### 15.4.5.14 InvestmentRestrictions <InvstmtRstrctns>

*Presence:* [0..1]

*Definition:* Investment restrictions linked to the trading of the investment fund or an alternative/hedge fund.

**InvestmentRestrictions <InvstmtRstrctns>** contains the following elements (see "InvestmentRestrictions3" on page 1751 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C1, C13	1751
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		1752
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C1, C13	1752
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		1752
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C1, C13	1752
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		1753
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		1753
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		1753
	MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>	[0..1]	Amount	C1, C13	1753
	MinimumSwitchSubscriptionUnits <MinSwchSbcptUnits>	[0..1]	Quantity		1754
	MaximumSwitchRedemptionAmount <MaxSwchRedAmt>	[0..1]	Amount	C1, C13	1754
	MaximumSwitchRedemptionUnits <MaxSwchRedUnits>	[0..1]	Quantity		1754
	OtherSwitchRestrictions <OthrSwchRstrctns>	[0..1]	Text		1754
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C1, C13	1754
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		1755
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		1755
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		1755
	AdditionalInformation <AddtlInf>	[0..*]	±		1755

#### 15.4.5.15 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

*Impacted by:* C8 "DealingCutOffTimeFrameRule"

**SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics11" on page 1790 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1791
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1791
	ApplicationForm <ApplForm>	[1..1]	Indicator		1791
	SignatureType <SgntrTp>	[1..1]	CodeSet		1791
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1792
	ApplicationForm <ApplForm>	[1..1]	Indicator		1792
	SignatureType <SgntrTp>	[1..1]	CodeSet		1792
	AmountIndicator <AmtInd>	[0..1]	Indicator		1793
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1793
	Rounding <Rndg>	[0..1]	CodeSet		1793
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1793
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1794
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1794
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1794
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1795
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1795
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C34	1795
	LimitedPeriod <LtdPrd>	[0..1]	Text		1796
	SettlementCycle <SttlmCycl>	[0..1]			1796
{Or	TradePlus <TPlus>	[1..1]	Quantity		1796
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1797
	AdditionalInformation <AddtlInf>	[0..*]	±		1797

### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present



Or /DealingCutOffTimeFrame/TradeMinus Must be present  
 Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.16 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a redemption from the investment fund or alternative/hedge fund.

*Impacted by:* C9 "DealingCutOffTimeFrameRule"

**RedemptionProcessingCharacteristics <RedPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics12" on page 1835 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1836
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1837
	ApplicationForm <ApplForm>	[1..1]	Indicator		1837
	SignatureType <SgntrTp>	[1..1]	CodeSet		1837
	AmountIndicator <AmtInd>	[0..1]	Indicator		1838
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1838
	Rounding <Rndg>	[0..1]	CodeSet		1838
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1838
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1838
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1839
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1839
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1839
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1840
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1840
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C35	1840
	LimitedPeriod <LtdPrd>	[0..1]	Text		1841
	SettlementCycle <SttlmCycl>	[0..1]			1841
{Or	TradePlus <TPlus>	[1..1]	Quantity		1841
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1842
	AdditionalInformation <AddtlInf>	[0..*]	±		1842

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

**15.4.5.17 SwitchProcessingCharacteristics <SwchPrcgChrtcs>**

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

*Impacted by:* C10 "DealingCutOffTimeFrameRule"

**SwitchProcessingCharacteristics <SwchPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics9" on page 1769 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealGcCyAccptd>	[0..*]	CodeSet	C1	1770
	SwitchAuthorisation <SwchAuthstn>	[0..1]			1770
	ApplicationForm <ApplForm>	[1..1]	Indicator		1770
	SignatureType <SgntrTp>	[1..1]	CodeSet		1770
	AmountIndicator <AmtInd>	[0..1]	Indicator		1771
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1771
	Rounding <Rndg>	[0..1]	CodeSet		1771
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1771
	DealingFrequency <DealGFrqcy>	[0..1]	CodeSet		1772
	DealingFrequencyDescription <DealGFrqcyDesc>	[0..1]	Text		1772
	DealingCutOffTime <DealGCutOffTm>	[0..1]	Time		1772
	DealingCutOffTimeFrame <DealGCutOffTmFrame>	[0..1]	±	C23, C33	1773
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1773
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C26, C36	1773
	LimitedPeriod <LtdPrd>	[0..1]	Text		1774
	SettlementCycle <SttlmCycl>	[0..1]			1774
{Or	TradePlus <TPlus>	[1..1]	Quantity		1774
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1775
	AdditionalInformation <AddtlInf>	[0..*]	±		1775

#### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.18 PlanCharacteristics <PlanChrtcs>

Presence: [0..\*]

*Definition:* Characteristics of the investment plan.

*Impacted by:* C20 "InvestmentPlanRule"

**PlanCharacteristics <PlanChrtcs>** contains the following elements (see "InvestmentPlanCharacteristics1" on page 1824 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			1824
{Or	Code <Cd>	[1..1]	CodeSet		1824
Or}	Proprietary <Prtry>	[1..1]	±		1825
	Frequency <Frqcy>	[0..1]	±		1825
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1825
	Quantity <Qty>	[0..1]	±		1825
	PlanContinuation <PlanConttn>	[0..1]	Indicator		1826
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		1826
	AdditionalSubscriptionFunction <AddtlSbcptFctr>	[0..1]	Indicator		1826
	AdditionalInformation <AddtlInf>	[0..*]	±		1826

#### Constraints

- **InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

#### 15.4.5.19 PaymentInstrument <PmtInstrm>

*Presence:* [0..\*]

*Definition:* Specifies, for a specific type of transaction, how amounts are to be paid in or paid out.

**PaymentInstrument <PmtInstrm>** contains the following elements (see "PaymentInstrument16" on page 2267 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdrTp>	[1..1]			2268
{Or	Code <Cd>	[1..1]	CodeSet		2268
Or}	Proprietary <Prtry>	[1..1]	±		2268
	InstrumentType <InstrmTp>	[1..1]			2269
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2269
	AdditionalInformation <AddtlInf>	[0..*]	±		2270

### 15.4.5.20 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Account to be used for cash settlement.

**CashSettlementDetails <CshSttlmDtls>** contains the following **CashAccount205** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	225
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			225
	<b>AccountIdentification</b> <AcctId>	[1..1]			226
	<b>Identification</b> <Id>	[1..1]	±		226
	<b>Name</b> <Nm>	[0..1]	Text		226
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	226
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		227
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			227
	<b>AccountIdentification</b> <AcctId>	[1..1]			227
	<b>Identification</b> <Id>	[1..1]	±		227
	<b>Name</b> <Nm>	[0..1]	Text		228
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	228
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		228

#### 15.4.5.20.1 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the settlement.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 15.4.5.20.2 PrimaryAccount <PmryAcct>

*Presence:* [0..1]

*Definition:* Cash account for settlement.

**PrimaryAccount <PmryAcct>** contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification &lt;AcctId&gt;</b>	[1..1]			226
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		226
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		226
	<b>Servicer &lt;Svcr&gt;</b>	[0..1]	IdentifierSet	C2	226
	<b>AccountTypeDescription &lt;AcctTpDesc&gt;</b>	[0..1]	Text		227

#### 15.4.5.20.2.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		226
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		226

##### 15.4.5.20.2.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[CashAccountIdentification8Choice](#)" on page 1300 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Other &lt;Othr&gt;</b>	[1..1]	±		1300
Or}	<b>IBAN &lt;IBAN&gt;</b>	[1..1]	IdentifierSet	C19	1301

##### 15.4.5.20.2.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 15.4.5.20.2.2 Servicer <Svcr>

*Presence:* [0..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.

Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 2823

#### 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.

#### 15.4.5.20.2.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: "Max35Text" on page 2837

#### 15.4.5.20.3 SecondaryAccount <ScndryAcct>

Presence: [0..1]

Definition: Sub-division of a master or omnibus cash account.

**SecondaryAccount <ScndryAcct>** contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification &lt;AcctId&gt;</b>	[1..1]			227
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		227
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		228
	<b>Servicer &lt;Svcr&gt;</b>	[0..1]	IdentifierSet	C2	228
	<b>AccountTypeDescription &lt;AcctTpDesc&gt;</b>	[0..1]	Text		228

#### 15.4.5.20.3.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		227
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		228

#### 15.4.5.20.3.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[CashAccountIdentification8Choice](#)" on page 1300 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1300
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C19	1301

#### 15.4.5.20.3.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 15.4.5.20.3.2 Servicer <Svcr>

*Presence:* [0..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.

*Impacted by:* [C2 "AnyBIC"](#)

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2823

#### 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.

#### 15.4.5.20.3.3 AccountTypeDescription <AcctTpDesc>

*Presence:* [0..1]

*Definition:* Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 15.4.5.21 LocalMarketAnnex <LcIMktAnx>

*Presence:* [0..\*]

*Definition:* Processing characteristics specific to a local fund order desk.



**LocalMarketAnnex <LclMktAnx>** contains the following **LocalMarketAnnex6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Country</b> <Ctry>	[1..*]	CodeSet	C6	229
	<b>LocalOrderDesk</b> <LclOrdDsk>	[1..1]	±		230
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrpgChrtcs>	[0..1]	±	C8	230
	<b>RedemptionProcessingCharacteristics</b> <RedPrpgChrtcs>	[0..1]	±	C11	232
	<b>SwitchProcessingCharacteristics</b> <SwrchPrpgChrtcs>	[0..1]	±	C10	233
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]			234
	<b>Currency</b> <Ccy>	[0..1]	CodeSet	C1	235
	<b>PrimaryAccount</b> <PmryAcct>	[0..1]			235
	<b>AccountIdentification</b> <AcctId>	[1..1]			236
	<b>Identification</b> <Id>	[1..1]	±		236
	<b>Name</b> <Nm>	[0..1]	Text		236
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	236
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		237
	<b>SecondaryAccount</b> <ScndryAcct>	[0..1]			237
	<b>AccountIdentification</b> <AcctId>	[1..1]			237
	<b>Identification</b> <Id>	[1..1]	±		237
	<b>Name</b> <Nm>	[0..1]	Text		238
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	238
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		238
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		238

#### 15.4.5.21.1 Country <Ctry>

*Presence:* [1..\*]

*Definition:* Country of the local fund order desk.

*Impacted by:* C6 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**15.4.5.21.2 LocalOrderDesk <LclOrdrDsk>**

*Presence:* [1..1]

*Definition:* Local entity appointed by the fund, to which orders should be submitted.

**LocalOrderDesk <LclOrdrDsk>** contains the following elements (see "[OrderDesk1](#)" on page 2027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		2027
	ClosureDates <ClsrDts>	[0..*]	Date		2027
	AdditionalInformation <AddtlInf>	[0..*]	±		2027

**15.4.5.21.3 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>**

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

*Impacted by:* [C8 "DealingCutOffTimeFrameRule"](#)

**SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics11" on page 1790 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1791
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1791
	ApplicationForm <ApplForm>	[1..1]	Indicator		1791
	SignatureType <SgntrTp>	[1..1]	CodeSet		1791
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1792
	ApplicationForm <ApplForm>	[1..1]	Indicator		1792
	SignatureType <SgntrTp>	[1..1]	CodeSet		1792
	AmountIndicator <AmtInd>	[0..1]	Indicator		1793
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1793
	Rounding <Rndg>	[0..1]	CodeSet		1793
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1793
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1794
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1794
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1794
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1795
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1795
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C34	1795
	LimitedPeriod <LtdPrd>	[0..1]	Text		1796
	SettlementCycle <SttlmCycl>	[0..1]			1796
{Or	TradePlus <TPlus>	[1..1]	Quantity		1796
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1797
	AdditionalInformation <AddtlInf>	[0..*]	±		1797

### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present  
 Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.21.4 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a redemption to the investment fund or alternative/hedge fund.

*Impacted by:* C11 "DealingCutOffTimeFrameRule"

**RedemptionProcessingCharacteristics <RedPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics10" on page 1851 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1852
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1853
	ApplicationForm <ApplForm>	[1..1]	Indicator		1853
	SignatureType <SgntrTp>	[1..1]	CodeSet		1853
	AmountIndicator <AmtInd>	[0..1]	Indicator		1854
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1854
	Rounding <Rndg>	[0..1]	CodeSet		1854
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1854
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1854
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1855
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1855
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1855
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1856
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1856
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C26, C36	1856
	LimitedPeriod <LtdPrd>	[0..1]	Text		1857
	SettlementCycle <SttlmCycl>	[0..1]			1857
{Or	TradePlus <TPlus>	[1..1]	Quantity		1857
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1858
	AdditionalInformation <AddtlInf>	[0..*]	±		1858

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

**15.4.5.21.5 SwitchProcessingCharacteristics <SwchPrcgChrtcs>**

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

*Impacted by:* C10 "DealingCutOffTimeFrameRule"

**SwitchProcessingCharacteristics <SwchPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics9" on page 1769 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealGcCyAccptd>	[0..*]	CodeSet	C1	1770
	SwitchAuthorisation <SwchAuthstn>	[0..1]			1770
	ApplicationForm <ApplForm>	[1..1]	Indicator		1770
	SignatureType <SgntrTp>	[1..1]	CodeSet		1770
	AmountIndicator <AmtInd>	[0..1]	Indicator		1771
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1771
	Rounding <Rndg>	[0..1]	CodeSet		1771
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1771
	DealingFrequency <DealGFrqcy>	[0..1]	CodeSet		1772
	DealingFrequencyDescription <DealGFrqcyDesc>	[0..1]	Text		1772
	DealingCutOffTime <DealGCutOffTm>	[0..1]	Time		1772
	DealingCutOffTimeFrame <DealGCutOffTmFrame>	[0..1]	±	C23, C33	1773
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1773
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C26, C36	1773
	LimitedPeriod <LtdPrd>	[0..1]	Text		1774
	SettlementCycle <SttlmCycl>	[0..1]			1774
{Or	TradePlus <TPlus>	[1..1]	Quantity		1774
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1775
	AdditionalInformation <AddtlInf>	[0..*]	±		1775

#### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.21.6 CashSettlementDetails <CshSttlmDtls>

Presence: [0..\*]

*Definition:* Account to be used for cash settlement.

**CashSettlementDetails <CshSttlmDtls>** contains the following **CashAccount205** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Currency &lt;Ccy&gt;</b>	[0..1]	CodeSet	C1	235
	<b>PrimaryAccount &lt;PmryAcct&gt;</b>	[0..1]			235
	<b>AccountIdentification &lt;AcctId&gt;</b>	[1..1]			236
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		236
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		236
	<b>Servicer &lt;Svcr&gt;</b>	[0..1]	IdentifierSet	C2	236
	<b>AccountTypeDescription &lt;AcctTpDesc&gt;</b>	[0..1]	Text		237
	<b>SecondaryAccount &lt;ScndryAcct&gt;</b>	[0..1]			237
	<b>AccountIdentification &lt;AcctId&gt;</b>	[1..1]			237
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		237
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		238
	<b>Servicer &lt;Svcr&gt;</b>	[0..1]	IdentifierSet	C2	238
	<b>AccountTypeDescription &lt;AcctTpDesc&gt;</b>	[0..1]	Text		238

#### 15.4.5.21.6.1 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the settlement.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

#### 15.4.5.21.6.2 PrimaryAccount <PmryAcct>

*Presence:* [0..1]

*Definition:* Cash account for settlement.

**PrimaryAccount <PmryAcct>** contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification</b> <AcctId>	[1..1]			236
	<b>Identification</b> <Id>	[1..1]	±		236
	<b>Name</b> <Nm>	[0..1]	Text		236
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	236
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		237

#### 15.4.5.21.6.2.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		236
	<b>Name</b> <Nm>	[0..1]	Text		236

##### 15.4.5.21.6.2.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[CashAccountIdentification8Choice](#)" on page 1300 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Other</b> <Othr>	[1..1]	±		1300
Or}	<b>IBAN</b> <IBAN>	[1..1]	IdentifierSet	C19	1301

##### 15.4.5.21.6.2.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 15.4.5.21.6.2.2 Servicer <Svcr>

*Presence:* [0..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.



Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 2823

#### 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.

#### 15.4.5.21.6.2.3 AccountTypeDescription <AcctTpDesc>

Presence: [0..1]

Definition: Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

Datatype: "Max35Text" on page 2837

#### 15.4.5.21.6.3 SecondaryAccount <ScndryAcct>

Presence: [0..1]

Definition: Sub-division of a master or omnibus cash account.

**SecondaryAccount <ScndryAcct>** contains the following **CashAccount206** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification</b> <AcctId>	[1..1]			237
	<b>Identification</b> <Id>	[1..1]	±		237
	<b>Name</b> <Nm>	[0..1]	Text		238
	<b>Servicer</b> <Svcr>	[0..1]	IdentifierSet	C2	238
	<b>AccountTypeDescription</b> <AcctTpDesc>	[0..1]	Text		238

#### 15.4.5.21.6.3.1 AccountIdentification <AcctId>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following **AccountIdentificationAndName7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		237
	<b>Name</b> <Nm>	[0..1]	Text		238

#### 15.4.5.21.6.3.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[CashAccountIdentification8Choice](#)" on page 1300 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1300
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C19	1301

#### 15.4.5.21.6.3.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 15.4.5.21.6.3.2 Servicer <Svcr>

*Presence:* [0..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.

*Impacted by:* [C2 "AnyBIC"](#)

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2823

#### 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.

#### 15.4.5.21.6.3.3 AccountTypeDescription <AcctTpDesc>

*Presence:* [0..1]

*Definition:* Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 15.4.5.21.7 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the fund order desk.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**15.4.5.22 TargetMarket <TrgtMkt>**

*Presence:* [0..1]

*Definition:* Target market criteria.

**TargetMarket <TrgtMkt>** contains the following **TargetMarket4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReferenceDate</b> <RefDt>	[0..1]	Date		241
	<b>InvestorType</b> <InvstrTp>	[0..1]			241
	<b>InvestorTypeRetail</b> <InvstrTpRtl>	[0..1]	CodeSet		241
	<b>InvestorTypeProfessional</b> <InvstrTpPrfssnl>	[0..1]	±		242
	<b>InvestorTypeEligibleCounterparty</b> <InvstrTpElgblCtrPty>	[0..1]	CodeSet		242
	<b>Other</b> <Othr>	[0..*]	±		242
	<b>KnowledgeAndOrExperience</b> <KnwldgAndOrExprnc>	[0..1]			243
	<b>BasicInvestor</b> <BsiclInvstr>	[0..1]	CodeSet		243
	<b>InformedInvestor</b> <InfrmdInvstr>	[0..1]	CodeSet		243
	<b>AdvancedInvestor</b> <AdvncdInvstr>	[0..1]	CodeSet		244
	<b>ExpertInvestorGermany</b> <ExprtlInvstrDE>	[0..1]	CodeSet		244
	<b>Other</b> <Othr>	[0..*]	±		244
	<b>AbilityToBearLosses</b> <AbltyToBearLosses>	[0..1]			245
	<b>NoCapitalLoss</b> <NoCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLoss</b> <LtdCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLossLevel</b> <LtdCptlLossLvl>	[0..1]	Rate		246
	<b>NoCapitalGuarantee</b> <NoCptlGrnt>	[0..1]	CodeSet		246
	<b>LossBeyondCapital</b> <LossByndCptl>	[0..1]	CodeSet		246
	<b>Other</b> <Othr>	[0..*]	±		246
	<b>RiskTolerance</b> <RskTlrnce>	[0..1]			247
	<b>RiskTolerancePRIIPSMethodology</b> <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		247
	<b>RiskToleranceUCITSMethodology</b> <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		247
	<b>RiskToleranceInternal</b> <RskTlrnceIntl>	[0..1]	CodeSet		247
	<b>RiskToleranceForNonPRIIPSAAndNonUCITSSpain</b> <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		248
	<b>NotForInvestorsWithTheLowestRiskToleranceGermany</b> <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		248
	<b>Other</b> <Othr>	[0..*]	±		248
	<b>ClientObjectivesAndNeeds</b> <ClntObjctvsAndNeeds>	[0..1]			248
	<b>ReturnProfilePreservation</b> <RtrPrflPrsrvt>	[0..1]	CodeSet		249
	<b>ReturnProfileGrowth</b> <RtrPrflGrwth>	[0..1]	CodeSet		249

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReturnProfileIncome</b> <RtrPrflIncm>	[0..1]	CodeSet		250
	<b>ReturnProfileHedging</b> <RtrPrflHdgg>	[0..1]	CodeSet		250
	<b>OptionOrLeveragedReturnProfile</b> <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		250
	<b>ReturnProfilePensionSchemeGermany</b> <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		250
	<b>MinimumHoldingPeriod</b> <MinHldgPrd>	[0..1]	±		251
	<b>SustainabilityPreferences</b> <SstnblyPrefs>	[0..1]	CodeSet		251
	<b>OtherSpecificInvestmentNeed</b> <OthrSpfcInvstmtNeed>	[0..1]	±		251
	<b>Other</b> <Othr>	[0..*]	±		252
	<b>Other</b> <Othr>	[0..*]	±		252

#### 15.4.5.22.1 ReferenceDate <RefDt>

*Presence:* [0..1]

*Definition:* Date to which the target market data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01000.

*Datatype:* "ISODate" on page 2822

#### 15.4.5.22.2 InvestorType <InvstrTp>

*Presence:* [0..1]

*Definition:* Investor for which the financial instrument is targeted.

**InvestorType** <InvstrTp> contains the following **InvestorType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InvestorTypeRetail</b> <InvstrTpRtl>	[0..1]	CodeSet		241
	<b>InvestorTypeProfessional</b> <InvstrTpPrfssnl>	[0..1]	±		242
	<b>InvestorTypeEligibleCounterparty</b> <InvstrTpElgblCtrPty>	[0..1]	CodeSet		242
	<b>Other</b> <Othr>	[0..*]	±		242

##### 15.4.5.22.2.1 InvestorTypeRetail <InvstrTpRtl>

*Presence:* [0..1]

*Definition:* Specifies whether the product is aimed at the retail investor. If neutral, the manufacturer estimates that there is neither a negative nor a positive target market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01010.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.2.2 InvestorTypeProfessional <InvstrTpPrfssnl>

*Presence:* [0..1]

*Definition:* Specifies how the product is aimed at the professional investor. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01020.

**InvestorTypeProfessional <InvstrTpPrfssnl>** contains one of the following elements (see "TargetMarket5Choice" on page 1861 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1861
Or}	Other <Othr>	[1..1]	CodeSet		1862

#### 15.4.5.22.2.3 InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>

*Presence:* [0..1]

*Definition:* Specifies whether the product is aimed at the eligible counterparty. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01030.

*Datatype:* "TargetMarket3Code" on page 2800

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.2.4 Other <Othr>

*Presence:* [0..\*]

*Definition:* Specifies another investor type.

**Other <Othr>** contains the following elements (see "OtherTargetMarketInvestor1" on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		1865
	Target <Trgt>	[0..1]			1865
{Or	Type <Tp>	[1..1]	CodeSet		1865
Or	Other <Othr>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1866
	AdditionalInformation <AddtlInf>	[0..1]	±		1866

### 15.4.5.22.3 KnowledgeAndOrExperience <KnlwdgAndOrExprnc>

*Presence:* [0..1]

*Definition:* Knowledge and/or experience of the investor.

**KnowledgeAndOrExperience <KnlwdgAndOrExprnc>** contains the following **InvestorKnowledge1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BasicInvestor</b> <BsicInvstr>	[0..1]	CodeSet		243
	<b>InformedInvestor</b> <InfrmdInvstr>	[0..1]	CodeSet		243
	<b>AdvancedInvestor</b> <AdvncdInvstr>	[0..1]	CodeSet		244
	<b>ExpertInvestorGermany</b> <ExprtInvstrDE>	[0..1]	CodeSet		244
	<b>Other</b> <Othr>	[0..*]	±		244

#### 15.4.5.22.3.1 BasicInvestor <BsicInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is a basic investor. A basic investor has one, or more, of the following characteristics:

- a basic knowledge of relevant financial instruments (a basic investor can make an informed investment decision based on the regulated and authorised offering documentation or with the help of basic information provided at the point of sale),
- no financial industry experience, that is, suited to a first time investor.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02010.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.3.2 InformedInvestor <InfrmdInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an informed investor. An informed investor has one, or more, of the following characteristics:

- average knowledge of relevant financial products (an informed investor can make an informed investment decision based on the regulated and authorised offering documentation, together with knowledge and understanding of the specific factors/risks highlighted within them only),
- some financial industry experience.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02020.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.3.3 AdvancedInvestor <AdvncdInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an advanced investor. An advanced investor has one, or more, of the following characteristics:

- good knowledge of relevant financial products and transactions, financial industry experience or accompanied by professional investment advice or included in a - discretionary portfolio service.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02030.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.3.4 ExpertInvestorGermany <ExprtInvstrDE>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an expert investor. An expert investor has expert knowledge of and/or experience with highly specialised financial products. (Specific to Germany.)

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02040.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.3.5 Other <Othr>

*Presence:* [0..\*]

*Definition:* Type of investor knowledge and experience for which the financial instrument is targeted.



**Other <Othr>** contains the following elements (see "OtherTargetMarketInvestorKnowledge1" on page 1866 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		1867
	Target <Trgt>	[0..1]			1867
{Or	Code <Cd>	[1..1]	CodeSet		1867
Or}	Proprietary <Prtry>	[1..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..1]	±		1867

#### 15.4.5.22.4 AbilityToBearLosses <AblyToBearLosses>

*Presence:* [0..1]

*Definition:* Investor's ability to bear losses.

**AbilityToBearLosses <AblyToBearLosses>** contains the following **LossBearing2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NoCapitalLoss</b> <NoCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLoss</b> <LtdCptlLoss>	[0..1]	CodeSet		245
	<b>LimitedCapitalLossLevel</b> <LtdCptlLossLvl>	[0..1]	Rate		246
	<b>NoCapitalGuarantee</b> <NoCptlGrnt>	[0..1]	CodeSet		246
	<b>LossBeyondCapital</b> <LossByndCptl>	[0..1]	CodeSet		246
	<b>Other</b> <Othr>	[0..*]	±		246

##### 15.4.5.22.4.1 NoCapitalLoss <NoCptlLoss>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who cannot bear loss of capital. Minor losses especially due to costs are possible. For a negative target (no), the product should not be sold to investors that cannot bear losses. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03010.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

##### 15.4.5.22.4.2 LimitedCapitalLoss <LtdCptlLoss>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is seeking to preserve capital or who can bear losses limited to a level specified by a structured security or structure fund product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03020.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.4.3 LimitedCapitalLossLevel <LtdCptlLossLvl>

*Presence:* [0..1]

*Definition:* Specifies the percentage of loss that can be carried by the investor. This is only specified when a clear partial capital guarantee is provided on the primary market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03030.

*Datatype:* "PercentageRate" on page 2835

#### 15.4.5.22.4.4 NoCapitalGuarantee <NoCptlGrnt>

*Presence:* [0..1]

*Definition:* Specifies the product is compatible with a client who does not need capital guarantee nor protection. One hundred percent of the capital is at risk. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03040.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.4.5 LossBeyondCapital <LossByndCptl>

*Presence:* [0..1]

*Definition:* Specifies the product is compatible with a client who can bear loss beyond the capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03050.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.4.6 Other <Othr>

*Presence:* [0..\*]

*Definition:* Specifies another type of loss bearing.

**Other <Othr>** contains the following elements (see "OtherTargetMarketLossBearing1" on page 1859 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AbiltyToBearLossesTp>	[0..1]	Text		1859
	Target <Trgt>	[0..1]			1859
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860
	AdditionalInformation <AddtlInf>	[0..1]	±		1860

#### 15.4.5.22.5 RiskTolerance <RskTlrnce>

*Presence:* [0..1]

*Definition:* Investor's tolerance to risk.

**RiskTolerance <RskTlrnce>** contains the following **RiskTolerance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RiskTolerancePRIIPSMethodology</b> <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		247
	<b>RiskToleranceUCITSMethodology</b> <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		247
	<b>RiskToleranceInternal</b> <RskTlrnceIntl>	[0..1]	CodeSet		247
	<b>RiskToleranceForNonPRIIPSAAndNonUCITSSpain</b> <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		248
	<b>NotForInvestorsWithTheLowestRiskToleranceGerma ny</b> <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		248
	<b>Other &lt;Othr&gt;</b>	[0..*]	±		248

##### 15.4.5.22.5.1 RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>

*Presence:* [0..1]

*Definition:* Specifies the Summary Risk Indicator (SRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04010.

*Datatype:* "Max1Number" on page 2834

##### 15.4.5.22.5.2 RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>

*Presence:* [0..1]

*Definition:* Specifies the Synthetic Risk and Reward Indicator (SRRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04020.

*Datatype:* "Max1Number" on page 2834

##### 15.4.5.22.5.3 RiskToleranceInternal <RskTlrnceIntl>

*Presence:* [0..1]

**Definition:** Specifies the risk tolerance for non-PRIPs and non-UCITS instructions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04030.

**Datatype:** "RiskLevel1Code" on page 2792

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

#### 15.4.5.22.5.4 RiskToleranceForNonPRIIPsAndNonUCITSSpain <RskTlrnceForNonPRIIPsAndNonUCITSES>

**Presence:** [0..1]

**Definition:** Specifies the Summary Risk Indicator (SRI) for a Spanish product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04040.

**Datatype:** "Max1Number" on page 2834

#### 15.4.5.22.5.5 NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>

**Presence:** [0..1]

**Definition:** Specifies the risk tolerance for a German product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04050.

**Datatype:** "TargetMarket2Code" on page 2799

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

#### 15.4.5.22.5.6 Other <Othr>

**Presence:** [0..\*]

**Definition:** Specifies another type of risk tolerance.

**Other <Othr>** contains the following elements (see "OtherTargetMarketRiskTolerance1" on page 1863 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		1863
	Target <Trgt>	[0..1]			1864
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1864
	AdditionalInformation <AddtlInf>	[0..1]	±		1864

#### 15.4.5.22.6 ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>

**Presence:** [0..1]

**Definition:** Investor's investment requirements.

**ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>** contains the following **InvestorRequirements4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReturnProfilePreservation</b> <RtrPrflPrsrvtn>	[0..1]	CodeSet		249
	<b>ReturnProfileGrowth</b> <RtrPrflGrwth>	[0..1]	CodeSet		249
	<b>ReturnProfileIncome</b> <RtrPrflIncm>	[0..1]	CodeSet		250
	<b>ReturnProfileHedging</b> <RtrPrflHdgg>	[0..1]	CodeSet		250
	<b>OptionOrLeveragedReturnProfile</b> <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		250
	<b>ReturnProfilePensionSchemeGermany</b> <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		250
	<b>MinimumHoldingPeriod</b> <MinHldgPrd>	[0..1]	±		251
	<b>SustainabilityPreferences</b> <SstnbiltyPrefs>	[0..1]	CodeSet		251
	<b>OtherSpecificInvestmentNeed</b> <OthrSpfcInvstmntNeed>	[0..1]	±		251
	<b>Other</b> <Othr>	[0..*]	±		252

#### 15.4.5.22.6.1 ReturnProfilePreservation <RtrPrflPrsrvtn>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is looking for the preservation of capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05010.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.6.2 ReturnProfileGrowth <RtrPrflGrwth>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client looking for capitalisation growth. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05020.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**15.4.5.22.6.3 ReturnProfileIncome <RtrPrflIncm>**

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is looking for income. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05030.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**15.4.5.22.6.4 ReturnProfileHedging <RtrPrflHdgg>**

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the hedging profile of a structured security product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05040.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**15.4.5.22.6.5 OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>**

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the option or leveraged return profile of a structured security product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05050.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**15.4.5.22.6.6 ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>**

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the Return Profile Pension Scheme Germany profile of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05070.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 15.4.5.22.6.7 MinimumHoldingPeriod <MinHldgPrd>

*Presence:* [0..1]

*Definition:* Minimum recommended holding period (RHP).

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05080.

**MinimumHoldingPeriod <MinHldgPrd>** contains one of the following elements (see "TimeHorizon2Choice" on page 1445 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1445
Or}	TimeFrame <TmFrame>	[1..1]			1445
{Or	Code <Cd>	[1..1]	CodeSet		1445
Or}	Proprietary <Prtry>	[1..1]	±		1445

#### 15.4.5.22.6.8 SustainabilityPreferences <SstnblyPrefs>

*Presence:* [0..1]

*Definition:* Specifies whether the product considers investors sustainability preferences. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05105.

*Datatype:* "SustainabilityPreferences2Code" on page 2799

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

#### 15.4.5.22.6.9 OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>

*Presence:* [0..1]

*Definition:* Specifies other specific investment needs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05115.

**OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>** contains one of the following elements (see "InvestmentNeed2Choice" on page 1777 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1777
Or}	Proprietary <Prtry>	[1..1]	±		1778

**15.4.5.22.6.10 Other <Othr>***Presence:* [0..\*]*Definition:* Other investment need.**Other <Othr>** contains the following elements (see "[OtherInvestmentNeed1](#)" on page 1798 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		1798
	Target <Trgt>	[0..1]			1798
{Or	Code <Cd>	[1..1]	CodeSet		1798
Or}	Proprietary <Prtry>	[1..1]	±		1799
	AdditionalInformation <AddtlInf>	[0..1]	±		1799

**15.4.5.22.7 Other <Othr>***Presence:* [0..\*]*Definition:* Other target market parameter.**Other <Othr>** contains the following elements (see "[OtherTargetMarket1](#)" on page 1760 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		1760
	AdditionalInformation <AddtlInf>	[0..1]	±		1760

**15.4.5.23 DistributionStrategy <DstrbtnStrtgy>***Presence:* [0..1]*Definition:* Distribution strategy criteria.**DistributionStrategy <DstrbtnStrtgy>** contains the following elements (see "[DistributionStrategy1](#)" on page 1787 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		1787
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsvcs>	[0..1]	±		1787
	InvestmentAdvice <InvstmtAdvcs>	[0..1]	±		1788
	PortfolioManagement <PrtfMgmt>	[0..1]	±		1788
	Other <Othr>	[0..1]	±		1788

**15.4.5.24 CostsAndCharges <CostsAndChrgs>***Presence:* [0..2]



*Definition:* Costs and charges associated with the distribution of selling of the financial instrument. These may be one-off or recurring. These may be ex ante (intended) or post ante (actual).

*Impacted by:* C16 "ExAnteReferenceDateGuideline", C19 "IndividualCostAndCharge1Guideline"

**CostsAndCharges <CostsAndChrgs>** contains the following elements (see "CostsAndCharges2" on page 1387 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1388
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C14, C15, C31, C32	1388
	CostType <CostTp>	[1..1]			1389
{Or	Code <Cd>	[1..1]	CodeSet		1389
Or}	Proprietary <Prtry>	[1..1]	±		1394
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1394
	Amount <Amt>	[0..1]	Amount	C1	1395
	Sign <Sgn>	[0..1]	Indicator		1395
	Rate <Rate>	[0..1]	Rate		1395
	ReferencePeriod <RefPrd>	[0..1]			1395
	StartDate <StartDt>	[1..1]	Date		1396
	EndDate <EndDt>	[1..1]	Date		1396
	AdditionalInformation <AddtlInf>	[0..1]	±		1396
	AdditionalInformation <AddtlInf>	[0..1]	±		1396

#### Constraints

- **ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

- **IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

#### 15.4.5.25 AdditionalInformationUKMarket <AddtlInfUKMkt>

*Presence:* [0..1]

*Definition:* Additional information required for distribution in the UK market.

**AdditionalInformationUKMarket <AddtlInfUKMkt>** contains the following  
**AdditionalProductInformation3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentTransactionCostsExAnteUK</b> <FinInstrmTxCostsExAnteUK>	[0..1]	Rate		254
	<b>FinancialInstrumentTransactionCostsExPostUK</b> <FinInstrmTxCostsExPstUK>	[0..1]	Rate		254

#### 15.4.5.25.1 FinancialInstrumentTransactionCostsExAnteUK <FinInstrmTxCostsExAnteUK>

*Presence:* [0..1]

*Definition:* Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09010 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

*Datatype:* "PercentageRate" on page 2835

#### 15.4.5.25.2 FinancialInstrumentTransactionCostsExPostUK <FinInstrmTxCostsExPstUK>

*Presence:* [0..1]

*Definition:* Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09020 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

*Datatype:* "PercentageRate" on page 2835

#### 15.4.5.26 ValueForMoney <ValForMny>

*Presence:* [0..1]

*Definition:* Additional information about UK Value For Money to complement the UK consumer duty regime.

*Impacted by:* C3 "AssessmentOfValueRule", C28

"OtherReviewRelatedToValueAndOrChargesUKRule", C29

"OutcomeOfCOLLAssessmentOfValueRule", C30 "OutcomeOfPRINValueAssessmentRule"

**ValueForMoney <ValForMny>** contains the following **ValueForMoney1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EMTDataReportingVFMUK</b> <EMTDataRptgVFMUK>	[0..1]	CodeSet		256
	<b>AssessmentOfValueRequiredUnderCOLLUK</b> <AssmntOfValReqrdUdrCOLLUK>	[0..1]	CodeSet		256
	<b>OutcomeOfCOLLAssessmentOfValueUK</b> <OutcmOfCOLLAssmntOfValUK>	[0..1]	CodeSet		256
	<b>OutcomeOfPRINValueAssessmentOrReviewUK</b> <OutcmOfPRINValAssmntOrRvwUK>	[0..1]	CodeSet		256
	<b>OtherReviewRelatedToValueAndOrChargesUK</b> <OthrRvwRltdToValAndOrChrgsUK>	[0..1]	CodeSet		257
	<b>FurtherInformationUK</b> <FrthrInfUK>	[0..1]	Text		257
	<b>ReviewDateUK</b> <RvwDtUK>	[0..1]	Date		257
	<b>ReviewNextDueUK</b> <RvwNxtDueUK>	[0..1]	Date		257

#### Constraints

- **AssessmentOfValueRule**

If EMTDataReporting is present, then AssessmentOfValueRequiredUnderCOLLUK must be present.

On Condition

/EMTDataReportingVFMUK is equal to value 'Yes'

Following Must be True

/AssessmentOfValueRequiredUnderCOLLUK Must be present

- **OtherReviewRelatedToValueAndOrChargesUKRule**

If AssessmentOfValueRequiredUnderCOLLUK value is NSCO, and OutcomeOfPRINValueAssessmentOrReviewUK is absent, then OtherReviewRelatedToValueAndOrChargesUK must be present.

On Condition

/AssessmentOfValueRequiredUnderCOLLUK is equal to value 'No'

And /OutcomeOfPRINValueAssessmentOrReviewUK is absent

Following Must be True

/OtherReviewRelatedToValueAndOrChargesUK Must be present

- **OutcomeOfCOLLAssessmentOfValueRule**

If AssessmentOfValueRequiredUnderCOLLUK value is YSCO then OutcomeOfCOLLAssessmentOfValueUK must be present.

On Condition

/AssessmentOfValueRequiredUnderCOLLUK is equal to value 'Yes'

Following Must be True

/OutcomeOfCOLLAssessmentOfValueUK Must be present

- **OutcomeOfPRINValueAssessmentRule**

If AssessmentOfValueRequiredUnderCOLLUK value is NSCO, and OtherReviewRelatedToValueAndOrChargesUK is absent, then OutcomeOfPRINValueAssessmentOrReviewUK must be present.

On Condition

/AssessmentOfValueRequiredUnderCOLLUK is different from value 'No'

And /OtherReviewRelatedToValueAndOrChargesUK is absent

Following Must be True  
/OutcomeOfPRINValueAssessmentOrReviewUK Must be present

#### 15.4.5.26.1 EMTDataReportingVFMUK <EMTDataRptgVFMUK>

*Presence:* [0..1]

*Definition:* Specifies if the value for money section is filled in the current EMT posting. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09030.

*Datatype:* "EMTDataReportingVFMUKType1Code" on page 2731

CodeName	Name	Definition
YSCO	Yes	Value for money data is being provided.

#### 15.4.5.26.2 AssessmentOfValueRequiredUnderCOLLUK <AssmntOfValReqrdUdrCOLLUK>

*Presence:* [0..1]

*Definition:* Specifies if assessment of value is required under UK Collective Investment Schemes. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09040.

*Datatype:* "AssessmentOfValueRequiredUnderCOLLUKType1Code" on page 2713

CodeName	Name	Definition
YSCO	Yes	Assesment of value is required.
NSCO	No	Assesment of value is not required.

#### 15.4.5.26.3 OutcomeOfCOLLAssessmentOfValueUK <OutcmOfCOLLAssmntOfValUK>

*Presence:* [0..1]

*Definition:* Specifies whether charges are justified based on the COLL assessment. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09050.

*Datatype:* "OutcomeOfCOLLAssessmentOfValueUKType1Code" on page 2769

CodeName	Name	Definition
COL1	ChargesJustified	Charges are justified based on assessment and any action identified or, where the first assessment is not yet due, based on initial product design.
COL2	ChargesNotJustified	Charges are not justified, significant action is required.

#### 15.4.5.26.4 OutcomeOfPRINValueAssessmentOrReviewUK <OutcmOfPRINValAssmntOrRvwUK>

*Presence:* [0..1]

*Definition:* Specifies the outcome of PRIN value assessment or review about fair value of product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09060.

*Datatype:* "OutcomeOfPRINValueAssessmentOrReviewUKType1Code" on page 2769

CodeName	Name	Definition
PRI2	ChangesRequired	Review indicates significant changes are required in order to provide fair value.
PRI1	FairValue	Product expected to provide fair value for a reasonably foreseeable period.

#### 15.4.5.26.5 OtherReviewRelatedToValueAndOrChargesUK <OthrRvwRltdToValAndOrChrgsUK>

*Presence:* [0..1]

*Definition:* Specifies the outcome of other review about fair value and/or charges. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09070.

*Datatype:* "OtherReviewRelatedToValueAndOrChargesUKType1Code" on page 2769

CodeName	Name	Definition
REVA	ESMA	In line with the ESMA supervisory briefing on the supervision of costs in UCITS and AIFs or relevant NCA supervisory activity.
REVO	Other	In line with other local requirements or procedures.

#### 15.4.5.26.6 FurtherInformationUK <FrthrInfUK>

*Presence:* [0..1]

*Definition:* Link to sources of relevant information. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09080.

*Datatype:* "Max350Text" on page 2837

#### 15.4.5.26.7 ReviewDateUK <RvwDtUK>

*Presence:* [0..1]

*Definition:* Specifies the date of the value assessment review, date of the COLL assessment of the published value report, or initial launch date. The initial launch date must be used if the initial assessment has not yet become subject to review or where the first COLL assessment of value report has yet to be published. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09090.

*Datatype:* "ISODate" on page 2822

#### 15.4.5.26.8 ReviewNextDueUK <RvwNxtDueUK>

*Presence:* [0..1]

*Definition:* Specifies the date of next assessment review. Empty if the initial assessment is not expected to require a review. For example, 'bid-only' products. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09100.

*Datatype:* "ISODate" on page 2822

#### 15.4.5.27 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C17 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 16      **reda.005.001.03**

## **InvestmentFundReportRequestV03**

### 16.1    **MessageDefinition Functionality**

#### Scope

The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.

The Investment Fund Report Request message can be used to request one or many fund reference data report messages.

#### Usage

If the InvestmentFundReportRequest message is used to request a fund reference data report then the request can specify the financial instrument for which the report is requested. Other appropriate parameters can also be included. It is also possible to indicate that the request is an open request, that is, there is no specific criteria for the report requested. For example, a request for a fund reference data report that is specified as "no criteria" means that the request is a request for a reference data report messages for all funds.

#### Outline

The InvestmentFundReportRequestV03 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. ReportRequest

Parameters for which the report is requested.

## 16.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <InvstmtFndRptReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		261
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		261
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		261
	<b>ReportRequest</b> <RptReq>	[1..*]		C8	262
{Or	<b>NoCriteria</b> <NoCrit>	[1..1]	CodeSet		262
Or}	<b>Parameters</b> <Params>	[1..1]			263
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		263
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		263
	<b>DateFrom</b> <DtFr>	[0..1]	Date		264
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	264
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	264

## 16.3 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 ReportParameterRule1**

If Parameters is present, at least one element in the list (Parameters/  
FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom)  
must be present. More than one element in the list (Parameters/FundManagementCompany,  
Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be present.

## 16.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 16.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 16.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 16.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 16.4.4 ReportRequest <RptReq>

*Presence:* [1..\*]

*Definition:* Parameters for which the report is requested.

*Impacted by:* C8 "ReportParameterRule1"

**ReportRequest <RptReq>** contains one of the following **FundParameters4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoCriteria</b> <NoCrit>	[1..1]	CodeSet		262
Or}	<b>Parameters</b> <Params>	[1..1]			263
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		263
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		263
	<b>DateFrom</b> <DtFr>	[0..1]	Date		264
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	264
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	264

### Constraints

- ReportParameterRule1**

If Parameters is present, at least one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) must be present. More than one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be present.

On Condition

/Parameters is present

Following Must be True

/Parameters/FinancialInstrumentDetails[\*] Must be present

Or /Parameters/FundManagementCompany[\*] Must be present

Or /Parameters/DateFrom Must be present

### 16.4.4.1 NoCriteria <NoCrit>

*Presence:* [1..1]

*Definition:* Specifies that there is no criteria for the report. The request is a request for all reports, rather than reports attributed to a specific fund manager, date or financial instrument.

*Datatype:* "NoCriteria1Code" on page 2765

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

#### 16.4.4.2 Parameters <Params>

*Presence:* [1..1]

*Definition:* Report parameters.

**Parameters <Params>** contains the following **FundParameters5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		263
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		263
	<b>DateFrom</b> <DtFr>	[0..1]	Date		264
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	264
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	264

##### 16.4.4.2.1 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Financial instrument for which the report is requested.

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument71" on page 1506 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1507
	ShortName <ShrtNm>	[0..1]	Text		1508
	Name <Nm>	[0..1]	Text		1508
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1508
	ClassType <ClsTp>	[0..1]	Text		1508
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1508
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1509
	ProductGroup <PdctGrp>	[0..1]	Text		1509

##### 16.4.4.2.2 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..\*]

*Definition:* Fund management company for which the report is requested.

**FundManagementCompany <FndMgmtCpny>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 16.4.4.2.3 DateFrom <DtFr>

*Presence:* [0..1]

*Definition:* Specifies the date on or after which the information required will have been last updated. Only the most recent versions of the data is required.

*Datatype:* "ISODate" on page 2822

#### 16.4.4.2.4 CountryOfDomicile <CtryOfDmcl>

*Presence:* [0..1]

*Definition:* Country where the fund has legal domicile.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 16.4.4.2.5 RegisteredDistributionCountry <RegdDstrbtnCtry>

*Presence:* [0..\*]

*Definition:* Country where the fund is registered for distribution.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

# 17      **semt.001.001.03**

## **SecuritiesMessageRejectionV03**

### 17.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a registrar, transfer agent or custodian bank, sends the SecuritiesMessageRejection message to the account owner, for example, an investor 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 SecuritiesMessageRejection message must not be used to reject an instruction message 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.

#### Outline

The SecuritiesMessageRejectionV03 MessageDefinition is composed of 3 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

##### B. RelatedReference

Reference to a linked message that was previously received.

##### C. Reason

Reason to reject the message.

## 17.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SctiesMsgRjctn>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		266
	<b>RelatedReference</b> <RltdRef>	[1..1]	±		266
	<b>Reason</b> <Rsn>	[1..1]			267
	<b>Reason</b> <Rsn>	[1..1]	CodeSet		267
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	Text		267
	<b>LinkedMessage</b> <LkdMsg>	[0..1]	±		267

## 17.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 17.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 17.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 17.4.2 RelatedReference <RltdRef>

*Presence:* [1..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

## 17.4.3 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

**Reason <Rsn>** contains the following **RejectionReason23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason</b> <Rsn>	[1..1]	CodeSet		267
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	Text		267
	<b>LinkedMessage</b> <LkdMsg>	[0..1]	±		267

### 17.4.3.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

*Datatype:* "MessageRejectedReason1Code" on page 2763

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

### 17.4.3.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection reason.

*Datatype:* "Max140Text" on page 2836

### 17.4.3.3 LinkedMessage <LkdMsg>

*Presence:* [0..1]

*Definition:* Identification of the invalid or unrecognised reference.

**LinkedMessage <LkdMsg>** contains one of the following elements (see "[LinkedMessage1Choice](#)" on page 1917 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		1917
Or	OtherReference <OthrRef>	[1..1]	±		1918
Or}	RelatedReference <RltdRef>	[1..1]	±		1918



# 18      **semt.002.001.02**

## **CustodyStatementOfHoldingsV02**

### 18.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.

The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.

#### Usage

The CustodyStatementOfHoldings message is used to provide detailed quantity and availability information for financial instrument holdings of a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can be also be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

This message can reflect all outstanding holding information or may only contain changes since the previously sent statement.

The CustodyStatementOfHoldings message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, this message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

#### Outline

The CustodyStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementGeneralDetails

General information related to the custody statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

## 18.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStmntOfHldgsV02>	[1..1]		C9	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		273
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		273
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		273
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		274
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			274
	<b>Reference</b> <Ref>	[1..1]	Text		274
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		275
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		275
	<b>Frequency</b> <Frqcy>	[1..1]	±		275
	<b>UpdateType</b> <UpdTp>	[1..1]	±		275
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		276
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		276
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		276
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		276
	<b>BalanceForAccount</b> <BalForAcct>	[0..*]	±	C1, C8, C5	277
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]	±		279
	<b>TotalValues</b> <TtlVals>	[0..1]	±		279
	<b>Extension</b> <Xtnsn>	[0..*]	±	C13	279

## 18.3 Constraints

### C1 AccruedInterestAmountSignRule

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

**C6 AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

**C7 AnyBIC**

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

**C8 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C9 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

*This constraint is defined at the MessageDefinition level.*

**C10 Country**

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

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C14 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C15 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C16 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C17 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 18.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 18.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 18.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

### 18.4.3 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 18.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 18.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the custody statement of holdings.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		274
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		275
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		275
	<b>Frequency</b> <Frqcy>	[1..1]	±		275
	<b>UpdateType</b> <UpdTp>	[1..1]	±		275
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		276
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		276
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		276

### 18.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* ["Max35Text"](#) on page 2837

**18.4.5.2 StatementDateTime <StmtDtTm>***Presence:* [1..1]*Definition:* Date of the statement.**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**18.4.5.3 CreationDateTime <CreDtTm>***Presence:* [0..1]*Definition:* Preparation date of the statement.**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**18.4.5.4 Frequency <Frqcy>***Presence:* [1..1]*Definition:* Frequency of the statement.**Frequency <Frqcy>** contains one of the following elements (see "FrequencyCodeAndDSSCode1Choice" on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2384
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2385

**18.4.5.5 UpdateType <UpdTp>***Presence:* [1..1]*Definition:* Indicates whether the report is complete or contains changes only.**UpdateType <UpdTp>** contains one of the following elements (see "StatementUpdateTypeCodeAndDSSCodeChoice" on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2471
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2472

#### 18.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 18.4.5.7 StatementBasis <StmntBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmntBsis>** contains one of the following elements (see "[StatementBasisCodeAndDSSCodeChoice](#)" on page 2470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2471
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2471

#### 18.4.5.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "[Max5NumericText](#)" on page 2838

### 18.4.6 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* The safekeeping or investment account.

**AccountDetails <AcctDtls>** contains the following elements (see "[SafekeepingAccount2](#)" on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1681
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1682
	Name <Nm>	[0..1]	Text		1682
	Designation <Dsgnt>	[0..1]	Text		1682
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1682
	AccountOwner <AcctOwnr>	[0..1]	±		1683
	AccountServicer <AcctSvcr>	[0..1]	±		1683



## 18.4.7      **BalanceForAccount <BalForAcct>**

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C8 "BalanceAtSafekeepingPlaceRule", C5 "AggregateQuantityGuideline"

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1317 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1319
	AvailableQuantity <AvlblQty>	[0..1]	±		1319
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1319
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1320
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1320
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1321
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1321
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1321
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1322
	PriceDetails <PricDtls>	[0..*]	±	C15	1322
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1323
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1323
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1324
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1324
	AggregateQuantity <AggtQty>	[1..1]	±		1325
	AvailableQuantity <AvlblQty>	[0..1]	±		1326
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1326
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1326
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1326
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1327
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1328
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1328
	PriceDetails <PricDtls>	[0..*]	±	C15	1328
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1329
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1329

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1330

#### Constraints

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

## 18.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification5](#)" on page 1293 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1293
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1294
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1294
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1294

## 18.4.9 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C1, C13	1339
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C1, C13	1339

## 18.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C13 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 19      **semt.003.001.02**

## **AccountingStatementOfHoldingsV02**

### 19.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the AccountingStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.

The message can be sent either audited or un-audited and may be provided on a trade date or settlement date basis.

#### Usage

The AccountingStatementOfHoldings message is used to provide valuation detail for each financial instrument held in a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, the message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

This message can be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

The AccountingStatementOfHoldings message should not be used for trading purposes.

#### Outline

The AccountingStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementGeneralDetails

General information related to the accounting statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

## 19.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsV02>	[1..1]		C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		285
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		285
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		285
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		286
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			286
	<b>Reference</b> <Ref>	[1..1]	Text		286
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		286
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		287
	<b>Frequency</b> <Frqcy>	[1..1]	±		287
	<b>UpdateType</b> <UpdTp>	[1..1]	±		287
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		287
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		288
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		288
	<b>AuditedIndicator</b> <AudtdInd>	[1..1]	Indicator		288
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		288
	<b>BalanceForAccount</b> <BalForAcct>	[0..*]	±	C1, C6	289
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]	±		290
	<b>TotalValues</b> <TtlVals>	[0..1]	±		290
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	290

## 19.3 Constraints

### C1 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

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

**C6 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C7 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

*This constraint is defined at the MessageDefinition level.*

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C13 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C14 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.



**C15 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 19.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 19.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 19.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

### 19.4.3 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 19.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 19.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the accounting statement of holdings.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		286
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		286
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		287
	<b>Frequency</b> <Frqcy>	[1..1]	±		287
	<b>UpdateType</b> <UpdTp>	[1..1]	±		287
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		287
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		288
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		288
	<b>AuditedIndicator</b> <AudtdInd>	[1..1]	Indicator		288

### 19.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2837

### 19.4.5.2 StatementDateTime <StmntDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 19.4.5.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 19.4.5.4 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "FrequencyCodeAndDSSCode1Choice" on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2384
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2385

#### 19.4.5.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "StatementUpdateTypeCodeAndDSSCodeChoice" on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmUpdTpAsCd>	[1..1]	CodeSet		2471
Or}	StatementUpdateTypeAsDSS <StmUpdTpAsDSS>	[1..1]	±		2472

#### 19.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 19.4.5.7 StatementBasis <StmtBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmtBsis>** contains one of the following elements (see ["StatementBasisCodeAndDSSCodeChoice"](#) on page 2470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2471
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2471

#### 19.4.5.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* ["Max5NumericText"](#) on page 2838

#### 19.4.5.9 AuditedIndicator <AudtdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the statement is audited.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

### 19.4.6 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* The safekeeping or investment account.

**AccountDetails <AcctDtls>** contains the following elements (see "SafekeepingAccount2" on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1681
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1682
	Name <Nm>	[0..1]	Text		1682
	Designation <Dsgnt>	[0..1]	Text		1682
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1682
	AccountOwner <AcctOwnr>	[0..1]	±		1683
	AccountServicer <AcctSvcr>	[0..1]	±		1683

## 19.4.7 BalanceForAccount <BalForAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C6 "BalanceAtSafekeepingPlaceRule"

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateBalanceInformation3" on page 1339 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1340
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1340
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1341
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1342
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1342
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1342
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1343
	PriceDetails <PricDtls>	[1..*]	±	C15	1343
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1344
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1344
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1345
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1345

**Constraints**

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

## 19.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification3](#)" on page 1298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1299
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1299
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1299
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1299

## 19.4.9 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C1, C13	1339
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C1, C13	1339

## 19.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C11 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 20      **semt.004.001.02**

# **CustodyStatementOfHoldingsCancellationV02**

### 20.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent, sends the CustodyStatementOfHoldingsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent CustodyStatementOfHoldings message.

#### Usage

The CustodyStatementOfHoldingsCancellation message is used to cancel a previously sent CustodyStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

This message may also contain details of the message to be cancelled, but this is not recommended.

#### Outline

The CustodyStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

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).

E. StatementToBeCancelled

The Custody Statement of Holdings message to cancel.



## 20.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStmntOfHldgsCxIV02>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		294
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		295
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		295
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		295
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]	±	C9	296

## 20.3 Constraints

### C1 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AggregateQuantityGuideline

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

### C6 AggregateQuantityGuideline

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

### C7 AnyBIC

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

**C8 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C9 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**C10 Country**

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

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C14 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C15 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C16 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C17 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 20.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 20.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 20.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 20.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 20.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*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).

**MessagePagination <MsgPgntn>** contains the following elements (see "[Pagination](#)" on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 20.4.5 StatementToBeCancelled <StmtToBeCanc>

*Presence:* [0..1]

*Definition:* The Custody Statement of Holdings message to cancel.

*Impacted by:* C9 "BalanceForAccountOrSubAccountDetailsRule"

**StatementToBeCancelled <StmtToBeCanc>** contains the following elements (see "CustodyStatementOfHoldings2" on page 1330 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmtGnlDtls>	[0..1]			1331
	Reference <Ref>	[1..1]	Text		1332
	StatementDateTime <StmtDtTm>	[1..1]	±		1332
	CreationDateTime <CreDtTm>	[0..1]	±		1332
	Frequency <Frqcy>	[1..1]	±		1332
	UpdateType <UpdTp>	[1..1]	±		1333
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1333
	StatementBasis <StmtBsis>	[1..1]	±		1333
	ReportNumber <RptNb>	[0..1]	Text		1333
	AccountDetails <AcctDtls>	[0..1]	±		1334
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1334
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1336
	TotalValues <TtlVals>	[0..1]	±		1336
	Extension <Xtnsn>	[0..*]	±	C16	1336

### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

# 21      **semt.005.001.02**

## **AccountingStatementOfHoldingsCancellationV02**

### 21.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent, sends the AccountingStatementOfHoldingsCancellation message to the account owner, for example, a fund manager or an account owner's designated agent, to notify the cancellation of a previously sent AccountingStatementOfHoldings message.

#### Usage

The AccountingStatementOfHoldingsCancellation message is used to cancel a previously sent AccountingStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

This message may also contain all the details of the message to be cancelled, but this is not recommended.

#### Outline

The AccountingStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementToBeCancelled

The Accounting Statement of Holdings message to cancel.

## 21.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsCxlV02>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		299
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		300
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		300
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		300
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]	±	C7	300

## 21.3 Constraints

### C1 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AnyBIC

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

### C6 BalanceAtSafekeepingPlaceRule

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

### C7 BalanceForAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**C13 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C14 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C15 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 21.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 21.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 21.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 21.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 21.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 21.4.5 StatementToBeCancelled <StmntToBeCanc>

*Presence:* [0..1]

*Definition:* The Accounting Statement of Holdings message to cancel.

*Impacted by:* [C7 "BalanceForAccountOrSubAccountDetailsRule"](#)



**StatementToBeCancelled <StmtToBeCanc>** contains the following elements (see "AccountingStatementOfHoldings2" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmtGnlDtls>	[0..1]			1348
	Reference <Ref>	[1..1]	Text		1349
	StatementDateTime <StmtDtTm>	[1..1]	±		1349
	CreationDateTime <CreDtTm>	[0..1]	±		1349
	Frequency <Frqcy>	[1..1]	±		1350
	UpdateType <UpdTp>	[1..1]	±		1350
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1350
	StatementBasis <StmtBsis>	[1..1]	±		1350
	ReportNumber <RptNb>	[0..1]	Text		1350
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1351
	AccountDetails <AcctDtls>	[0..1]	±		1351
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1351
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1352
	TotalValues <TtlVals>	[0..1]	±		1353
	Extension <Xtnsn>	[0..*]	±	C16	1353

#### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

## 22      **semt.006.001.03**

# **StatementOfInvestmentFundTransactionsV03**

### 22.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactions message to the account owner, for example, an investment manager or its authorised representative to provide detailed transactions (increases and decreases) of holdings which occurred during a specified period of time.

#### Usage

The StatementOfInvestmentFundTransactions message is used to list the holdings transactions of a single (master) account or several sub-accounts.

This message should be used at a frequency agreed bi-laterally between the account servicer and the account owner.

This message must not be used in place of confirmation messages.

#### Outline

The StatementOfInvestmentFundTransactionsV03 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementGeneralDetails

General information related to the investment fund statement of transactions.

F. InvestmentAccountDetails

Information related to an investment account.

G. TransactionOnAccount

Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. Extension

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

## 22.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTx>	[1..1]		C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		308
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		308
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		308
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		309
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			309
	<b>Reference</b> <Ref>	[1..1]	Text		309
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		310
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		310
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		310
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		311
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		311
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		311
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]			311
	<b>Identification</b> <Id>	[1..1]	±		312
	<b>Name</b> <Nm>	[0..1]	Text		312
	<b>Designation</b> <Dsgnt>	[0..1]	Text		312
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			312
	<b>Identification</b> <Id>	[1..1]	±		313
	<b>Account</b> <Acct>	[0..1]	±		313
	<b>Role</b> <Role>	[0..1]	±		313
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		313
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			314
	<b>Identification</b> <Id>	[1..1]	±		316
	<b>Name</b> <Nm>	[0..1]	Text		316
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		317
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		317
	<b>ClassType</b> <ClsTp>	[0..1]	Text		317
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		317
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	317

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			318
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		319
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		319
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		319
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		319
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		320
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		320
	<b>DealReference</b> <DealRef>	[0..1]	Text		320
	<b>LegIdentification</b> <LegId>	[0..1]	Text		320
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		320
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		320
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		320
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		320
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		321
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		321
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		321
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	321
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		322
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		322
	<b>CumDividendIndicator</b> <CumDvddlnd>	[1..1]	Indicator		322
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		322
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		323
	<b>BalanceByPage</b> <BalByPg>	[0..1]			323
	<b>OpeningBalance</b> <OpngBal>	[0..1]			323
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		323
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		324
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			324
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		324
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		324
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]		C8	325
	<b>Identification</b> <Id>	[1..1]	±		327

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		327
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			328
	<b>Identification</b> <Id>	[1..1]	±		330
	<b>Name</b> <Nm>	[0..1]	Text		330
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		331
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		331
	<b>ClassType</b> <ClssTp>	[0..1]	Text		331
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		331
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	331
	<b>EventType</b> <EvtTp>	[1..1]			332
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		333
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		333
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		333
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		333
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		334
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		334
	<b>DealReference</b> <DealRef>	[0..1]	Text		334
	<b>LegIdentification</b> <LegId>	[0..1]	Text		334
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		334
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		334
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		334
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		334
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		335
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		335
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		335
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	335
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		336
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		336
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		336
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		336
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		337

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BalanceByPage</b> <BalByPg>	[0..1]			337
	<b>OpeningBalance</b> <OpngBal>	[0..1]			337
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		337
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		338
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			338
{Or	<b>FinalClosingBalance</b> <FnIclsgBal>	[0..1]	±		338
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		338
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	339

## 22.3 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 by the ISO 9362 Registration Authority in the BIC directory, and consists 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 CurrencyAmount

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

Note: The decimal separator is a dot.

### C5 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C6 StreetNameAndOrPostOfficeBoxRule

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### C7 TransactionOnAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

*This constraint is defined at the MessageDefinition level.*

#### **C8 TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

#### **C9 TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

#### **C10 TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

## **22.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **22.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### **22.4.2 PreviousReference <PrvsRef>**

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

### **22.4.3 RelatedReference <RltdRef>**

*Presence:* [0..\*]

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



**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 22.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 22.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the investment fund statement of transactions.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		309
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		310
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		310
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		310
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		311
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		311
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		311

### 22.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* ["Max35Text"](#) on page 2837

**22.4.5.2 StatementPeriod <StmtPrd>***Presence:* [1..1]*Definition:* Period on which the statement is reporting.**StatementPeriod <StmtPrd>** contains the following elements (see ["DatePeriodDetails"](#) on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1440
	ToDate <ToDt>	[1..1]	Date		1440

**22.4.5.3 CreationDateTime <CreDtTm>***Presence:* [0..1]*Definition:* Creation date of the statement.**CreationDateTime <CreDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**22.4.5.4 Frequency <Frqcy>***Presence:* [0..1]*Definition:* Frequency of the statement.*Datatype:* ["EventFrequency1Code"](#) on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.

CodeName	Name	Definition
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 22.4.5.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Specifies if the statement is complete or only contains changes.

*Datatype:* "StatementUpdateTypeCode" on page 2799

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 22.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 22.4.5.7 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "Max5NumericText" on page 2838

### 22.4.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Information related to an investment account.

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **InvestmentAccount43** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		312
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		312
	<b>Designation &lt;Dsgnt&gt;</b>	[0..1]	Text		312
	<b>IntermediaryInformation &lt;IntrmyInf&gt;</b>	[0..10]			312
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		313
	<b>Account &lt;Acct&gt;</b>	[0..1]	±		313
	<b>Role &lt;Role&gt;</b>	[0..1]	±		313
	<b>AccountServicer &lt;AcctSvcr&gt;</b>	[0..1]	±		313

#### 22.4.6.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see ["AccountIdentification1"](#) on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 22.4.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* ["Max35Text"](#) on page 2837

#### 22.4.6.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* ["Max35Text"](#) on page 2837

#### 22.4.6.4 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following **Intermediary27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		313
	<b>Account &lt;Acct&gt;</b>	[0..1]	±		313
	<b>Role &lt;Role&gt;</b>	[0..1]	±		313

#### 22.4.6.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 22.4.6.4.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "[Account7](#)" on page 1298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1298
	AccountServicer <AcctSvcr>	[0..1]	±		1298

#### 22.4.6.4.3 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "[Role4Choice](#)" on page 2089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2089
Or}	Proprietary <Prtry>	[1..1]	±		2090

#### 22.4.6.5 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

## 22.4.7 TransactionOnAccount <TxOnAcct>

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnAccount <TxOnAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		316
	<b>Name</b> <Nm>	[0..1]	Text		316
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		317
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		317
	<b>ClassType</b> <ClsTp>	[0..1]	Text		317
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		317
	<b>TransactionDetails</b> <TxDtIs>	[1..*]		C9, C10	317
	<b>EventType</b> <EvtTp>	[1..1]			318
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		319
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		319
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		319
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		319
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		320
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		320
	<b>DealReference</b> <DealRef>	[0..1]	Text		320
	<b>LegIdentification</b> <LegId>	[0..1]	Text		320
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		320
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		320
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		320
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		320
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		321
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		321
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		321
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	321
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		322
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		322
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		322
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		322
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		323
	<b>BalanceByPage</b> <BalByPg>	[0..1]			323

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			323
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		323
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		324
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			324
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		324
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		324

### 22.4.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

### 22.4.7.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2837



**22.4.7.3 SupplementaryIdentification <SplmtryId>***Presence:* [0..1]*Definition:* Additional information about a financial instrument to help identify the instrument.*Datatype:* "Max35Text" on page 2837**22.4.7.4 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**22.4.7.5 ClassType <ClsTp>***Presence:* [0..1]*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.*Datatype:* "Max35Text" on page 2837**22.4.7.6 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**22.4.7.7 TransactionDetails <TxDtIs>***Presence:* [1..\*]*Definition:* Process of buying, selling, switching or transferring fund units.*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			318
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		319
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		319
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		319
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		319
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		320
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		320
	<b>DealReference</b> <DealRef>	[0..1]	Text		320
	<b>LegIdentification</b> <LegId>	[0..1]	Text		320
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		320
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		320
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		320
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		320
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		321
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		321
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		321
	<b>SettlementAmount</b> <StlmlAmt>	[0..1]	Amount	C1, C4	321
	<b>SettlementDate</b> <StlmlDt>	[0..1]	Date		322
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		322
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		322
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		322
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		323

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 22.4.7.7.1 EventType <EvtTp>

Presence: [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		319
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		319

#### 22.4.7.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2626
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 22.4.7.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2623
Or}	Proprietary <Prtry>	[1..1]	±		2625

#### 22.4.7.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2812

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 22.4.7.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.4 OrderReference <OrdRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

#### **22.4.7.7.9 OrderDateTime <OrdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### **22.4.7.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **22.4.7.7.11 RegisteredTransactionIndicator <RegdTxDInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 22.4.7.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.7.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** ["CreditDebitCode"](#) on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 22.4.7.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** ["ReversalCode"](#) on page 2791

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 22.4.7.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** [C1 "ActiveCurrency"](#), [C4 "CurrencyAmount"](#)

**Datatype:** ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**22.4.7.7.16 SettlementDate <SttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2822

**22.4.7.7.17 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**22.4.7.7.18 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**22.4.7.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**22.4.7.7.20 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Price at which the order was executed.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2358
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359
	Value <Val>	[1..1]	±		2360
	PriceMethod <PricMtd>	[0..1]	CodeSet		2360

**22.4.7.8 BalanceByPage <BalByPg>***Presence:* [0..1]*Definition:* Balance of the financial instrument for this specific statement page.**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			323
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		323
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		324
	ClosingBalance <ClsgBal>	[0..1]			324
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		324
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		324

**22.4.7.8.1 OpeningBalance <OpngBal>***Presence:* [0..1]*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		323
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		324

**22.4.7.8.1.1 FirstOpeningBalance <FrstOpngBal>***Presence:* [1..1]*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.7.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.7.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance</b> <FnIclsgBal>	[0..1]	±		324
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		324

##### 22.4.7.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

##### 22.4.7.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).



**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

## 22.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

*Impacted by:* C8 "TransactionOnSubAccountRule"

**SubAccountDetails** <SubAcctDtls> contains the following **SubAccountIdentification36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		327
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		327
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			328
	<b>Identification</b> <Id>	[1..1]	±		330
	<b>Name</b> <Nm>	[0..1]	Text		330
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		331
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		331
	<b>ClassType</b> <ClassTp>	[0..1]	Text		331
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		331
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	331
	<b>EventType</b> <EvtTp>	[1..1]			332
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		333
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		333
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		333
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		333
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		334
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		334
	<b>DealReference</b> <DealRef>	[0..1]	Text		334
	<b>LegIdentification</b> <LegId>	[0..1]	Text		334
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		334
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		334
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		334
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		334
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		335
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		335
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		335
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	335
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		336
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		336
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		336
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		336

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		337
	<b>BalanceByPage</b> <BalByPg>	[0..1]			337
	<b>OpeningBalance</b> <OpngBal>	[0..1]			337
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		337
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		338
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			338
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		338
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		338

**Constraints**

- **TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

**22.4.8.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "AccountIdentificationFormatChoice" on page 1296 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

**22.4.8.2 ActivityIndicator <ActvtyInd>**

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**22.4.8.3 TransactionOnSubAccount <TxOnSubAcct>**

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnSubAccount <TxOnSubAcct>** contains the following  
**InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		330
	<b>Name</b> <Nm>	[0..1]	Text		330
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		331
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		331
	<b>ClassType</b> <ClsTp>	[0..1]	Text		331
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		331
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	331
	<b>EventType</b> <EvtTp>	[1..1]			332
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		333
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		333
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		333
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		333
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		334
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		334
	<b>DealReference</b> <DealRef>	[0..1]	Text		334
	<b>LegIdentification</b> <LegId>	[0..1]	Text		334
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		334
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		334
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		334
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		334
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		335
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		335
	<b>Reversal</b> <Rvs/>	[0..1]	CodeSet		335
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	335
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		336
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		336
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		336
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		336
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		337
	<b>BalanceByPage</b> <BalByPg>	[0..1]			337

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			337
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		337
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		338
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			338
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		338
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		338

#### 22.4.8.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification3Choice" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

#### 22.4.8.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

**22.4.8.3.3 SupplementaryIdentification <SplmtryId>***Presence:* [0..1]*Definition:* Additional information about a financial instrument to help identify the instrument.*Datatype:* "Max35Text" on page 2837**22.4.8.3.4 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**22.4.8.3.5 ClassType <ClsTp>***Presence:* [0..1]*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.*Datatype:* "Max35Text" on page 2837**22.4.8.3.6 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**22.4.8.3.7 TransactionDetails <TxDtIs>***Presence:* [1..\*]*Definition:* Process of buying, selling, switching or transferring fund units.*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			332
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		333
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		333
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		333
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		333
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		334
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		334
	<b>DealReference</b> <DealRef>	[0..1]	Text		334
	<b>LegIdentification</b> <LegId>	[0..1]	Text		334
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		334
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		334
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		334
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		334
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		335
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		335
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		335
	<b>SettlementAmount</b> <StlmtAmt>	[0..1]	Amount	C1, C4	335
	<b>SettlementDate</b> <StlmtDt>	[0..1]	Date		336
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		336
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		336
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		336
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		337

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 22.4.8.3.7.1 EventType <EvtTp>

*Presence:* [1..1]



*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		333
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		333

#### 22.4.8.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2626
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 22.4.8.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2623
Or}	Proprietary <Prtry>	[1..1]	±		2625

#### 22.4.8.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2812

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 22.4.8.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.4 OrderReference <OrdRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

#### **22.4.8.3.7.9 OrderDateTime <OrdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### **22.4.8.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **22.4.8.3.7.11 RegisteredTransactionIndicator <RegdTxInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 22.4.8.3.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.8.3.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** ["CreditDebitCode"](#) on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 22.4.8.3.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** ["ReversalCode"](#) on page 2791

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 22.4.8.3.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** [C1 "ActiveCurrency"](#), [C4 "CurrencyAmount"](#)

**Datatype:** ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**22.4.8.3.7.16 SettlementDate <SttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2822

**22.4.8.3.7.17 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**22.4.8.3.7.18 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**22.4.8.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**22.4.8.3.7.20 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Price at which the order was executed.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2358
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359
	Value <Val>	[1..1]	±		2360
	PriceMethod <PricMtd>	[0..1]	CodeSet		2360

**22.4.8.3.8 BalanceByPage <BalByPg>***Presence:* [0..1]*Definition:* Balance of the financial instrument for this specific statement page.**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			337
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		337
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		338
	ClosingBalance <ClsgBal>	[0..1]			338
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		338
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		338

**22.4.8.3.8.1 OpeningBalance <OpngBal>***Presence:* [0..1]*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		337
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		338

**22.4.8.3.8.1.1 FirstOpeningBalance <FrstOpngBal>***Presence:* [1..1]*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.8.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.8.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance &lt;FnIclsgBal&gt;</b>	[0..1]	±		338
Or}	<b>IntermediaryClosingBalance &lt;IntrmyClsgBal&gt;</b>	[0..1]	±		338

#### 22.4.8.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 22.4.8.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

## 22.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C5 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 23      **semt.007.001.03** **StatementOfInvestmentFundTransactionsCancellationV03**

### 23.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactionsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent StatementOfInvestmentFundTransactions message.

#### Usage

The StatementOfInvestmentFundTransactionsCancellation message is used to cancel a previously sent StatementOfInvestmentFundTransactions message. This message must contain the reference of the message to be cancelled.

This message may also contain all the details of the message to be cancelled, but this is not recommended.

#### Outline

The StatementOfInvestmentFundTransactionsCancellationV03 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies a message from a business application standpoint.

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementToBeCancelled

The Statement of Investment Fund Transactions message to cancel.



## 23.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTxscxl>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		345
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		345
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		345
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		346
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]		C7	346
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[0..1]			350
	<b>Reference</b> <Ref>	[1..1]	Text		350
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		350
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		351
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		351
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		352
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		352
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		352
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			352
	<b>Identification</b> <Id>	[1..1]	±		352
	<b>Name</b> <Nm>	[0..1]	Text		353
	<b>Designation</b> <Dsgnt>	[0..1]	Text		353
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			353
	<b>Identification</b> <Id>	[1..1]	±		353
	<b>Account</b> <Acct>	[0..1]	±		354
	<b>Role</b> <Role>	[0..1]	±		354
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		354
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			355
	<b>Identification</b> <Id>	[1..1]	±		357
	<b>Name</b> <Nm>	[0..1]	Text		357
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		358
	<b>SecuritiesForm</b> <SctiesForm>	[0..1]	CodeSet		358
	<b>ClassType</b> <ClsTp>	[0..1]	Text		358
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		358

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionDetails</b> <TxDtIs>	[1..*]		C9, C10	358
	<b>EventType</b> <EvtTp>	[1..1]			359
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		360
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		360
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		360
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		360
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		361
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		361
	<b>DealReference</b> <DealRef>	[0..1]	Text		361
	<b>LegIdentification</b> <LegId>	[0..1]	Text		361
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		361
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		361
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		361
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		361
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		362
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		362
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		362
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	362
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		363
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		363
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		363
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		363
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		364
	<b>BalanceByPage</b> <BalByPg>	[0..1]			364
	<b>OpeningBalance</b> <OpngBal>	[0..1]			364
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		364
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		365
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			365
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		365
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		365
	<b>SubAccountDetails</b> <SubAcctDtIs>	[0..*]		C8	366

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		368
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		368
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			368
	<b>Identification</b> <Id>	[1..1]	±		371
	<b>Name</b> <Nm>	[0..1]	Text		371
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		372
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		372
	<b>ClassType</b> <Clsstyp>	[0..1]	Text		372
	<b>DistributionPolicy</b> <Dstrbtply>	[0..1]	CodeSet		372
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	372
	<b>EventType</b> <EvtTp>	[1..1]			373
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374
	<b>BookingStatus</b> <Bookgsts>	[0..1]	CodeSet		374
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		374
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		375
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		375
	<b>DealReference</b> <DealRef>	[0..1]	Text		375
	<b>LegIdentification</b> <LegId>	[0..1]	Text		375
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		375
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		375
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		375
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		375
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		376
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		376
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		376
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	376
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		377
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		377
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		377
	<b>PartiallyExecutedIndicator</b> <PrtylExctdInd>	[1..1]	Indicator		377

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		378
	<b>BalanceByPage</b> <BalByPg>	[0..1]			378
	<b>OpeningBalance</b> <OpngBal>	[0..1]			378
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			379
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		379
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	380

## 23.3 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 by the ISO 9362 Registration Authority in the BIC directory, and consists 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 CurrencyAmount

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

Note: The decimal separator is a dot.

### C5 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C6 StreetNameAndOrPostOfficeBoxRule

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### C7 TransactionOnAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails must

be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

#### **C8 TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

#### **C9 TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

#### **C10 TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

## **23.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **23.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies a message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### **23.4.2 PreviousReference <PrvsRef>**

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

### **23.4.3 RelatedReference <RltdRef>**

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1560 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

## 23.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

## 23.4.5 StatementToBeCancelled <StmntToBeCanc>

*Presence:* [0..1]

*Definition:* The Statement of Investment Fund Transactions message to cancel.

*Impacted by:* [C7 "TransactionOnAccountOrSubAccountDetailsRule"](#)

**StatementToBeCancelled <StmntToBeCanc>** contains the following  
**StatementOfInvestmentFundTransactions3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[0..1]			350
	<b>Reference</b> <Ref>	[1..1]	Text		350
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		350
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		351
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		351
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		352
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		352
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		352
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			352
	<b>Identification</b> <Id>	[1..1]	±		352
	<b>Name</b> <Nm>	[0..1]	Text		353
	<b>Designation</b> <Dsgnt>	[0..1]	Text		353
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			353
	<b>Identification</b> <Id>	[1..1]	±		353
	<b>Account</b> <Acct>	[0..1]	±		354
	<b>Role</b> <Role>	[0..1]	±		354
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		354
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			355
	<b>Identification</b> <Id>	[1..1]	±		357
	<b>Name</b> <Nm>	[0..1]	Text		357
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		358
	<b>SecuritiesForm</b> <SctiesForm>	[0..1]	CodeSet		358
	<b>ClassType</b> <ClssTp>	[0..1]	Text		358
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		358
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	358
	<b>EventType</b> <EvtTp>	[1..1]			359
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		360
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		360
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		360
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		360

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		361
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		361
	<b>DealReference</b> <DealRef>	[0..1]	Text		361
	<b>LegIdentification</b> <LegId>	[0..1]	Text		361
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		361
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		361
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		361
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		361
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		362
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		362
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		362
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	362
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		363
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		363
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		363
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		363
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		364
	<b>BalanceByPage</b> <BalByPg>	[0..1]			364
	<b>OpeningBalance</b> <OpngBal>	[0..1]			364
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		364
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		365
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			365
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		365
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		365
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]		C8	366
	<b>Identification</b> <Id>	[1..1]	±		368
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		368
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			368
	<b>Identification</b> <Id>	[1..1]	±		371
	<b>Name</b> <Nm>	[0..1]	Text		371
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		372



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		372
	<b>ClassType</b> <ClssTp>	[0..1]	Text		372
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		372
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	372
	<b>EventType</b> <EvtTp>	[1..1]			373
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		374
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		374
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		375
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		375
	<b>DealReference</b> <DealRef>	[0..1]	Text		375
	<b>LegIdentification</b> <LegId>	[0..1]	Text		375
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		375
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		375
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		375
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		375
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		376
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		376
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		376
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	376
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		377
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		377
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		377
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		377
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		378
	<b>BalanceByPage</b> <BalByPg>	[0..1]			378
	<b>OpeningBalance</b> <OpngBal>	[0..1]			378
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			379

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		379
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	380

**Constraints**

- **TransactionOnAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails must be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

**23.4.5.1 StatementGeneralDetails <StmtGnlDtls>**

*Presence:* [0..1]

*Definition:* General information related to the investment fund statement of transactions that is being cancelled.

**StatementGeneralDetails <StmtGnlDtls>** contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		350
	<b>StatementPeriod</b> <StmtPrd>	[1..1]	±		350
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		351
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		351
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		352
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		352
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		352

**23.4.5.1.1 Reference <Ref>**

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2837

**23.4.5.1.2 StatementPeriod <StmtPrd>**

*Presence:* [1..1]

*Definition:* Period on which the statement is reporting.

**StatementPeriod <StmtPrd>** contains the following elements (see ["DatePeriodDetails"](#) on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1440
	ToDate <ToDt>	[1..1]	Date		1440

#### 23.4.5.1.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Creation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 23.4.5.1.4 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the statement.

*Datatype:* ["EventFrequency1Code"](#) on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

**23.4.5.1.5 UpdateType <UpdTp>***Presence:* [1..1]*Definition:* Specifies if the statement is complete or only contains changes.*Datatype:* "StatementUpdateTypeCode" on page 2799

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

**23.4.5.1.6 ActivityIndicator <ActvtyInd>***Presence:* [1..1]*Definition:* Indicates whether there is activity reported in the statement.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**23.4.5.1.7 ReportNumber <RptNb>***Presence:* [0..1]*Definition:* Sequential number of the statement.*Datatype:* "Max5NumericText" on page 2838**23.4.5.2 InvestmentAccountDetails <InvstmtAcctDtls>***Presence:* [0..1]*Definition:* Information related to an investment account of the statement that is being cancelled.**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **InvestmentAccount43** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		352
	<b>Name</b> <Nm>	[0..1]	Text		353
	<b>Designation</b> <Dsgnt>	[0..1]	Text		353
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			353
	<b>Identification</b> <Id>	[1..1]	±		353
	<b>Account</b> <Acct>	[0..1]	±		354
	<b>Role</b> <Role>	[0..1]	±		354
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		354

**23.4.5.2.1 Identification <Id>***Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "AccountIdentification1" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 23.4.5.2.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 23.4.5.2.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 23.4.5.2.4 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following **Intermediary27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		353
	<b>Account &lt;Acct&gt;</b>	[0..1]	±		354
	<b>Role &lt;Role&gt;</b>	[0..1]	±		354

##### 23.4.5.2.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 23.4.5.2.4.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "[Account7](#)" on page 1298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1298
	AccountServicer <AcctSvcr>	[0..1]	±		1298

#### 23.4.5.2.4.3 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "[Role4Choice](#)" on page 2089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2089
Or}	Proprietary <Prtry>	[1..1]	±		2090

#### 23.4.5.2.5 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

---

### 23.4.5.3 TransactionOnAccount <TxOnAcct>

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnAccount <TxOnAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		357
	<b>Name</b> <Nm>	[0..1]	Text		357
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		358
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		358
	<b>ClassType</b> <ClsTp>	[0..1]	Text		358
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		358
	<b>TransactionDetails</b> <TxDtIs>	[1..*]		C9, C10	358
	<b>EventType</b> <EvtTp>	[1..1]			359
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		360
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		360
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		360
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		360
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		361
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		361
	<b>DealReference</b> <DealRef>	[0..1]	Text		361
	<b>LegIdentification</b> <LegId>	[0..1]	Text		361
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		361
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		361
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		361
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		361
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		362
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		362
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		362
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	362
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		363
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		363
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		363
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		363
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		364
	<b>BalanceByPage</b> <BalByPg>	[0..1]			364



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			364
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		364
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		365
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			365
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		365
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		365

#### 23.4.5.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification3Choice" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

#### 23.4.5.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

**23.4.5.3.3 SupplementaryIdentification <SplmtryId>***Presence:* [0..1]*Definition:* Additional information about a financial instrument to help identify the instrument.*Datatype:* "Max35Text" on page 2837**23.4.5.3.4 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**23.4.5.3.5 ClassType <ClsTp>***Presence:* [0..1]*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.*Datatype:* "Max35Text" on page 2837**23.4.5.3.6 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**23.4.5.3.7 TransactionDetails <TxDtls>***Presence:* [1..\*]*Definition:* Process of buying, selling, switching or transferring fund units.*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			359
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		360
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		360
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		360
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		360
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		361
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		361
	<b>DealReference</b> <DealRef>	[0..1]	Text		361
	<b>LegIdentification</b> <LegId>	[0..1]	Text		361
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		361
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		361
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		361
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		361
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		362
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		362
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		362
	<b>SettlementAmount</b> <StlmlAmt>	[0..1]	Amount	C1, C4	362
	<b>SettlementDate</b> <StlmlDt>	[0..1]	Date		363
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		363
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		363
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		363
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		364

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 23.4.5.3.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		360
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		360

#### 23.4.5.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2626
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 23.4.5.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2623
Or}	Proprietary <Prtry>	[1..1]	±		2625

#### 23.4.5.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2812

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 23.4.5.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

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*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.4 OrderReference <OrdRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.3.7.9 OrderDateTime <OrdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### **23.4.5.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **23.4.5.3.7.11 RegisteredTransactionIndicator <RegdTxInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 23.4.5.3.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.3.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** ["CreditDebitCode"](#) on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 23.4.5.3.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** ["ReversalCode"](#) on page 2791

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 23.4.5.3.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** [C1 "ActiveCurrency"](#), [C4 "CurrencyAmount"](#)

**Datatype:** ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**23.4.5.3.7.16 SettlementDate <SttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2822

**23.4.5.3.7.17 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**23.4.5.3.7.18 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**23.4.5.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**23.4.5.3.7.20 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Price at which the order was executed.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2358
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359
	Value <Val>	[1..1]	±		2360
	PriceMethod <PricMtd>	[0..1]	CodeSet		2360

**23.4.5.3.8 BalanceByPage <BalByPg>***Presence:* [0..1]*Definition:* Balance of the financial instrument for this specific statement page.**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			364
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		364
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		365
	ClosingBalance <ClsgBal>	[0..1]			365
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		365
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		365

**23.4.5.3.8.1 OpeningBalance <OpngBal>***Presence:* [0..1]*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		364
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		365

**23.4.5.3.8.1.1 FirstOpeningBalance <FrstOpngBal>***Presence:* [1..1]*Definition:* Opening balance of the financial instrument in the statement.



**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance &lt;FnIclsgBal&gt;</b>	[0..1]	±		365
Or}	<b>IntermediaryClosingBalance &lt;IntrmyClsgBal&gt;</b>	[0..1]	±		365

#### 23.4.5.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.4 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* Sub-account of the safekeeping or investment account.

*Impacted by:* C8 "TransactionOnSubAccountRule"

**SubAccountDetails <SubAcctDtls>** contains the following **SubAccountIdentification36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		368
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		368
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			368
	<b>Identification</b> <Id>	[1..1]	±		371
	<b>Name</b> <Nm>	[0..1]	Text		371
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		372
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		372
	<b>ClassType</b> <ClassTp>	[0..1]	Text		372
	<b>DistributionPolicy</b> <Dstrbtpncy>	[0..1]	CodeSet		372
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	372
	<b>EventType</b> <EvtTp>	[1..1]			373
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		374
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		374
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		375
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		375
	<b>DealReference</b> <DealRef>	[0..1]	Text		375
	<b>LegIdentification</b> <LegId>	[0..1]	Text		375
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		375
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		375
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		375
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		375
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		376
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		376
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		376
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	376
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		377
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		377
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		377
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		377

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		378
	<b>BalanceByPage</b> <BalByPg>	[0..1]			378
	<b>OpeningBalance</b> <OpngBal>	[0..1]			378
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			379
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		379

**Constraints**

- **TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

**23.4.5.4.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1296 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

**23.4.5.4.2 ActivityIndicator <ActvtyInd>**

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**23.4.5.4.3 TransactionOnSubAccount <TxOnSubAcct>**

*Presence:* [0..\*]

---

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnSubAccount <TxOnSubAcct>** contains the following  
**InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		371
	<b>Name</b> <Nm>	[0..1]	Text		371
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		372
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		372
	<b>ClassType</b> <ClsTp>	[0..1]	Text		372
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		372
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	372
	<b>EventType</b> <EvtTp>	[1..1]			373
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		374
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		374
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		375
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		375
	<b>DealReference</b> <DealRef>	[0..1]	Text		375
	<b>LegIdentification</b> <LegId>	[0..1]	Text		375
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		375
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		375
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		375
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		375
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		376
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		376
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		376
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	376
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		377
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		377
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		377
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		377
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		378
	<b>BalanceByPage</b> <BalByPg>	[0..1]			378

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			378
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			379
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		379

**23.4.5.4.3.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification of a security by an ISIN.**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

**23.4.5.4.3.2 Name <Nm>***Presence:* [0..1]*Definition:* Name of the financial instrument in free format text.*Datatype:* "Max350Text" on page 2837

**23.4.5.4.3.3 SupplementaryIdentification <SplmtryId>***Presence:* [0..1]*Definition:* Additional information about a financial instrument to help identify the instrument.*Datatype:* "Max35Text" on page 2837**23.4.5.4.3.4 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**23.4.5.4.3.5 ClassType <ClsTp>***Presence:* [0..1]*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.*Datatype:* "Max35Text" on page 2837**23.4.5.4.3.6 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**23.4.5.4.3.7 TransactionDetails <TxDtls>***Presence:* [1..\*]*Definition:* Process of buying, selling, switching or transferring fund units.*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"



**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			373
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		374
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		374
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		375
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		375
	<b>DealReference</b> <DealRef>	[0..1]	Text		375
	<b>LegIdentification</b> <LegId>	[0..1]	Text		375
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		375
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		375
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		375
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		375
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		376
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		376
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		376
	<b>SettlementAmount</b> <StlAmnt>	[0..1]	Amount	C1, C4	376
	<b>SettlementDate</b> <StlMdt>	[0..1]	Date		377
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		377
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		377
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		377
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		378

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 23.4.5.4.3.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		374
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		374

#### 23.4.5.4.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see "[TransactionType2Choice](#)" on page 2626 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2626
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 23.4.5.4.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see "[CorporateAction1Choice](#)" on page 2623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2623
Or}	Proprietary <Prtry>	[1..1]	±		2625

#### 23.4.5.4.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* "[TransactionStatus1Code](#)" on page 2812

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 23.4.5.4.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

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*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.4 OrderReference <OrdrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

#### **23.4.5.4.3.7.9 OrderDateTime <OrdrDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### **23.4.5.4.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **23.4.5.4.3.7.11 RegisteredTransactionIndicator <RegdTxInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 23.4.5.4.3.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.4.3.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** ["CreditDebitCode"](#) on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 23.4.5.4.3.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** ["ReversalCode"](#) on page 2791

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 23.4.5.4.3.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** [C1 "ActiveCurrency"](#), [C4 "CurrencyAmount"](#)

**Datatype:** ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**23.4.5.4.3.7.16 SettlementDate <SttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2822

**23.4.5.4.3.7.17 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**23.4.5.4.3.7.18 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**23.4.5.4.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**23.4.5.4.3.7.20 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Price at which the order was executed.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2358
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359
	Value <Val>	[1..1]	±		2360
	PriceMethod <PricMtd>	[0..1]	CodeSet		2360

**23.4.5.4.3.8 BalanceByPage <BalByPg>***Presence:* [0..1]*Definition:* Balance of the financial instrument for this specific statement page.**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			378
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			379
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		379

**23.4.5.4.3.8.1 OpeningBalance <OpngBal>***Presence:* [0..1]*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		378
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		379

**23.4.5.4.3.8.1.1 FirstOpeningBalance <FrstOpngBal>***Presence:* [1..1]*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.4.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.4.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance &lt;FnIclsgBal&gt;</b>	[0..1]	±		379
Or}	<b>IntermediaryClosingBalance &lt;IntrmyClsgBal&gt;</b>	[0..1]	±		379

#### 23.4.5.4.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 23.4.5.4.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

### 23.4.5.5 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C5 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



## 24 **sese.001.001.09** **TransferOutInstructionV09**

### 24.1 **MessageDefinition Functionality**

#### Scope

The TransferOutInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

#### Usage

The TransferOutInstruction message is used to instruct the withdrawal of a financial instrument from one account and deliver it to either another account or to a third party.

#### Outline

The TransferOutInstructionV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferDetails

General information related to the transfer of the financial instrument.

G. AccountDetails

Information related to the account from which the financial instrument is to be withdrawn.

H. SettlementDetails

Information related to the receiving side of the transfer.

I. MarketPracticeVersion

Identifies the market practice to which the message conforms.

J. CopyDetails

Information provided when the message is a copy of a previous message.

#### K. Extension

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

## 24.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutInstr>	[1..1]		C25	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		385
	<b>PoolReference</b> <PoolRef>	[0..1]	±		385
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		386
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		386
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		386
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C27	386
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		387
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C23, C24	388
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		390
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		390
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	390

## 24.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C17 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C20 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C21 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C22 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C23 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C24 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMT (Dematerialised), then PhysicalTransferDetails is not allowed.

**C25 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C26 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C27 TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C28 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 24.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 24.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 24.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 24.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 24.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 24.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "[Max35Text](#)" on page 2837

### 24.4.6 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* [C27 "TotalUnitsNumberRule"](#)

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer36" on page 2662 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2663
	ClientReference <CIntRef>	[0..1]	±		2663
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2664
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2664
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2664
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2665
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2665
	TransferReason <TrfRsn>	[0..1]	±		2665
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2665
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2666
	Quantity <Qty>	[1..1]	±		2666
	UnitsDetails <UnitsDtls>	[0..*]	±		2666
	Rounding <Rndg>	[0..1]	CodeSet		2667
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2667
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2668
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2668
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2668
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2669
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2669

#### Constraints

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 24.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account from which the financial instrument is to be withdrawn.

**AccountDetails <AcctDtls>** contains the following elements (see "InvestmentAccount70" on page 1647 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1647
	AccountIdentification <AcctId>	[1..1]	Text		1648
	AccountName <AcctNm>	[0..1]	Text		1648
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1648
	AccountServicer <AcctSvcr>	[0..1]	±		1648
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1648
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1649
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1649
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1649
	IncomePreference <IncmPref>	[0..1]	CodeSet		1650
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1650
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1650
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1651

## 24.4.8 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the receiving side of the transfer.

*Impacted by:* C23 "PhysicalTransferDetails1Rule", C24 "PhysicalTransferDetails2Rule"



**SettlementDetails <SttlmDtls>** contains the following elements (see "ReceiveInformation21" on page 2651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2652
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2653
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2653
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2653
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2654
	IncomePreference <IncmPref>	[0..1]	CodeSet		2654
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2654
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2654
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2655
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2655
	StampDuty <StmpDty>	[0..1]	CodeSet		2655
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2655
	Fees <Fees>	[0..*]	±	C16	2656
	IndividualTax <IndvTax>	[0..*]	±		2657
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2657
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2658
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2659
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2659
	ClientReference <ClntRef>	[0..1]	±		2659

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 24.4.9 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 24.4.10 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 24.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C14 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 25 sese.002.001.09 TransferOutCancellationRequestV09

## 25.1 MessageDefinition Functionality

### Scope

The TransferOutCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer out instruction.

### Usage

The TransferOutCancellationRequest message is used to request the cancellation of one or more transfer out instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer out instructions, the transfer reference of the transfer, as specified in the original TransferOutInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferOutCancellationRequest is made using a TransferCancellationStatusReport message.

### Outline

The TransferOutCancellationRequestV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.

#### E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

#### F. TransferReferences

Reference of the transfer to be cancelled.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

H. CopyDetails

Information provided when the message is a copy of a previous message.

## 25.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		393
	<b>PoolReference</b> <PoolRef>	[0..1]	±		393
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		393
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		393
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		394
	<b>TransferReferences</b> <TrfRefs>	[1..*]			394
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		394
	<b>ClientReference</b> <CIntRef>	[0..1]	±		394
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		395
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		395
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		395
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		395
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		396

## 25.3 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).

## 25.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 25.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 25.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

## 25.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 25.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 25.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

## 25.4.6 TransferReferences <TrfRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		394
	<b>ClientReference</b> <ClntRef>	[0..1]	±		394
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		395
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		395
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		395

### 25.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

### 25.4.6.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 25.4.6.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 25.4.6.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 25.4.6.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max35Text" on page 2837

### 25.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 25.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869



## 26 **sese.003.001.09** **TransferOutConfirmationV09**

### 26.1 **MessageDefinition Functionality**

The TransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the delivery of a financial instrument, free of payment, on a given date, to a specified party.

This message may also be used to confirm the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

#### Usage

The TransferOutConfirmation message is used to confirm the withdrawal of a financial instrument from the owner's account and its delivery to another own account, or to a third party, has taken place.

The reference of the transfer confirmation is identified in TransferConfirmationReference. The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferOutInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference but this is not recommended.

#### Outline

The TransferOutConfirmationV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferDetails

General information related to the transfer of the financial instrument.

G. AccountDetails

Information related to the account from which the financial instrument was withdrawn.

H. SettlementDetails

Information related to the receiving side of the transfer.

I. MarketPracticeVersion

Identifies the market practice to which the message conforms.

J. CopyDetails

Information provided when the message is a copy of a previous message.

K. Extension

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

## 26.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutConf>	[1..1]		C14, C26	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		401
	<b>PoolReference</b> <PoolRef>	[0..1]	±		401
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		402
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		402
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		402
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C28	402
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		404
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C24, C25	404
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		406
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		406
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	406

## 26.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 EffectiveSettlementDateRule**

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/EffectiveSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C19 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C20 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C21 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C22 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C23 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C24 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C25 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

**C26 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C27 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C28 TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C29 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 26.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 26.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 26.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 26.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 26.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 26.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 26.4.6 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C28 "TotalUnitsNumberRule"

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer37" on page 2669 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2671
	TransferReference <TrfRef>	[1..1]	Text		2671
	ClientReference <ClntRef>	[0..1]	±		2671
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2671
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2672
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2672
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2672
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2672
	TradeDate <TradDt>	[0..1]	±		2672
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2673
	TransferReason <TrfRsn>	[0..1]	±		2673
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2673
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2673
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2674
	TransferRate <TrfRate>	[0..1]	Rate		2674
	UnitsDetails <UnitsDtls>	[0..*]	±		2674
	Rounding <Rndg>	[0..1]	CodeSet		2675
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2675
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2676
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C2	2676
	AverageDate <AvrgDt>	[0..1]	Date		2676
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2676
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2677
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2677
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2677
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2677

**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 26.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account from which the financial instrument was withdrawn.

**AccountDetails <AcctDtls>** contains the following elements (see "[InvestmentAccount70](#)" on page 1647 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1647
	AccountIdentification <AcctId>	[1..1]	Text		1648
	AccountName <AcctNm>	[0..1]	Text		1648
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1648
	AccountServicer <AcctSvcr>	[0..1]	±		1648
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1648
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1649
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1649
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1649
	IncomePreference <IncmPref>	[0..1]	CodeSet		1650
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1650
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1650
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1651

## 26.4.8 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the receiving side of the transfer.

*Impacted by:* [C24 "PhysicalTransferDetails1Rule"](#), [C25 "PhysicalTransferDetails2Rule"](#)



**SettlementDetails <SttlmDtls>** contains the following elements (see "ReceiveInformation20" on page 2683 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2684
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2684
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2684
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2685
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2685
	IncomePreference <IncmPref>	[0..1]	CodeSet		2685
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2686
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2686
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2686
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2686
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2686
	StampDuty <StrmpDty>	[0..1]	CodeSet		2687
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2687
	Fees <Fees>	[0..*]	±	C16	2687
	IndividualTax <IndvTax>	[0..*]	±		2688
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2689
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2690
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2690
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2691
	ClientReference <ClntRef>	[0..1]	±		2691

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 26.4.9 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 26.4.10 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 26.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 27 **sese.004.001.09**

# **ReversalOfTransferOutConfirmationV09**

### 27.1 **MessageDefinition Functionality**

#### Scope

The ReversalOfTransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer out confirmation.

#### Usage

The ReversalOfTransferOutConfirmation message is used to reverse a previously sent transfer out confirmation.

To request the reversal of a transfer out confirmation, the transfer reference of the transfer out instruction, as specified in the original TransferOutInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferOutConfirmation message may also be quoted in PreviousReference but this is not recommended.

#### Outline

The ReversalOfTransferOutConfirmationV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. ReversalReferences

Reference of the transfer confirmation to be reversed.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

H. CopyDetails

Information provided when the message is a copy of a previous message.

## 27.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RvslOfTrfOutConf>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		408
	<b>PoolReference</b> <PoolRef>	[0..1]	±		409
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		409
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		409
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		410
	<b>ReversalReferences</b> <RvslRefs>	[1..*]			410
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		410
	<b>ClientReference</b> <ClntRef>	[0..1]	±		410
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		411
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		411
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		411
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		411
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		411
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		412

## 27.3 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).

## 27.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 27.4.1 MessageIdentification <MsgId>

Presence: [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 27.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

## 27.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 27.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 27.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

## 27.4.6 ReversalReferences <RvslRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer confirmation to be reversed.

**ReversalReferences <RvslRefs>** contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		410
	<b>ClientReference</b> <ClntRef>	[0..1]	±		410
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		411
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		411
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		411
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		411

### 27.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

### 27.4.6.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 27.4.6.3 TransferConfirmationReference <TrfConfRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 27.4.6.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 27.4.6.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the reversal as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 27.4.6.6 ReversalReason <RvslRsn>

*Presence:* [0..1]

*Definition:* Reason for the reversal of confirmation.

*Datatype:* "Max35Text" on page 2837

### 27.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 27.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869



## 28 **sese.005.001.09** **TransferInstructionV09**

### 28.1 **MessageDefinition Functionality**

The TransferInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the receipt of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

#### Usage

The TransferInstruction message is used to instruct the receipt of a financial instrument from another account, either owned by the instructing party or by a third party.

#### Outline

The TransferInstructionV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. Function

Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.

F. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

G. TransferDetails

General information related to the transfer of the financial instrument.

H. AccountDetails

Information related to the account into which the financial instrument is to be received.

I. SettlementDetails

Information related to the delivering side of the transfer.

J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

K. CopyDetails

Information provided when the message is a copy of a previous message.

L. Extension

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

## 28.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrflnInstr>	[1..1]		C25	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		417
	<b>PoolReference</b> <PoolRef>	[0..1]	±		417
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		418
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		418
	<b>Function</b> <Fctn>	[0..1]	CodeSet		418
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		419
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C27	419
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		420
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C23, C24	421
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		423
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		423
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	423

## 28.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C17 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C20 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C21 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C22 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C23 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C24 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DMT (Dematerialised), then PhysicalTransferDetails is not allowed.

**C25 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C26 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C27 TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C28 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 28.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 28.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 28.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 28.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 28.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 28.4.5 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.

*Datatype:* "TransferInFunction1Code" on page 2813

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform

CodeName	Name	Definition
		the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

## 28.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

## 28.4.7 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C27 "TotalUnitsNumberRule"

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer36" on page 2662 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2663
	ClientReference <ClntRef>	[0..1]	±		2663
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2664
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2664
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2664
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2665
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2665
	TransferReason <TrfRsn>	[0..1]	±		2665
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2665
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2666
	Quantity <Qty>	[1..1]	±		2666
	UnitsDetails <UnitsDtls>	[0..*]	±		2666
	Rounding <Rndg>	[0..1]	CodeSet		2667
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2667
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2668
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2668
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2668
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2669
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2669

#### Constraints

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 28.4.8 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account into which the financial instrument is to be received.



**AccountDetails <AcctDtls>** contains the following elements (see "InvestmentAccount71" on page 1623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1623
	AccountIdentification <AcctId>	[1..1]	Text		1624
	AccountName <AcctNm>	[0..1]	Text		1624
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1624
	AccountServicer <AcctSvcr>	[0..1]	±		1624
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1624
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1625
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1625
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1625
	IncomePreference <IncmPref>	[0..1]	CodeSet		1626
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1626
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1626
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1627

## 28.4.9 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the delivering side of the transfer.

*Impacted by:* C23 "PhysicalTransferDetails1Rule", C24 "PhysicalTransferDetails2Rule"

**SettlementDetails <SttlmDtls>** contains the following elements (see "DeliverInformation21" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2629
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2630
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2630
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2630
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2631
	IncomePreference <IncmPref>	[0..1]	CodeSet		2631
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2631
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2631
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2632
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2632
	StampDuty <StmpDty>	[0..1]	CodeSet		2632
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2632
	Fees <Fees>	[0..*]	±	C16	2633
	IndividualTax <IndvTax>	[0..*]	±		2634
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2634
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2635
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2636
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2636
	ClientReference <ClntRef>	[0..1]	±		2636

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 28.4.10 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 28.4.11 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 28.4.12 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C14 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 29 **sese.006.001.09**

# **TransferInCancellationRequestV09**

### 29.1 **MessageDefinition Functionality**

#### Scope

The TransferInCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.

#### Usage

The TransferInCancellationRequest message is used to request the cancellation of one or more transfer in instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer in instructions, the transfer reference of the transfer, as specified in the original TransferInInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferInCancellationRequest is made using a TransferCancellationStatusReport message.

#### Outline

The TransferInCancellationRequestV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. Function

Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

G. TransferReferences

Reference of the transfer to be cancelled.

H. MarketPracticeVersion

Identifies the market practice to which the message conforms.

I. CopyDetails

Information provided when the message is a copy of a previous message.

## 29.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrflnCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		426
	<b>PoolReference</b> <PoolRef>	[0..1]	±		426
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		426
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		427
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		427
	<b>Function</b> <Fctn>	[0..1]	CodeSet		427
	<b>TransferReferences</b> <TrfRefs>	[1..*]			428
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		428
	<b>ClientReference</b> <ClntRef>	[0..1]	±		428
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		428
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		429
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		429
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		429
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		429

## 29.3 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).

## 29.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 29.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 29.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 29.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 29.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 29.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

## 29.4.6 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

*Datatype:* "TransferInFunction1Code" on page 2813

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

## 29.4.7 TransferReferences <TrfRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		428
	<b>ClientReference</b> <ClntRef>	[0..1]	±		428
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		428
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		429
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		429

### 29.4.7.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

### 29.4.7.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 29.4.7.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.



**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 29.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

#### 29.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* ["Max35Text"](#) on page 2837

### 29.4.8 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 29.4.9 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 30 **sese.007.001.09** **TransferInConfirmationV09**

### 30.1 **MessageDefinition Functionality**

#### Scope

The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.

This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice, that is, the message is used to provide account information.

#### Usage

The TransferInConfirmation message is used to confirm receipt of a financial instrument, either from another account owned by the instructing party or from a third party. The reference of the transfer confirmation is identified in TransferConfirmationReference.

The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferInInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

#### Outline

The TransferInConfirmationV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. Function

Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as or an advice. The absence of Function indicates the message is a confirmation.

F. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

G. TransferDetails

General information related to the transfer of the financial instrument.

#### H. AccountDetails

Information related to the account into which the financial instrument was received.

#### I. SettlementDetails

Information related to the delivering side of the transfer.

#### J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### K. CopyDetails

Information provided when the message is a copy of a previous message.

#### L. Extension

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

## 30.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrflnConf>	[1..1]		C14, C26	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		434
	<b>PoolReference</b> <PoolRef>	[0..1]	±		435
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		435
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		435
	<b>Function</b> <Fctn>	[0..1]	CodeSet		436
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		436
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C28	436
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		438
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C24, C25	438
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		440
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		440
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	440

## 30.3 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 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 EffectiveSettlementDateRule**

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/Effective Settlement Date may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C19 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C20 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C21 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C22 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C23 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C24 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C25 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

**C26 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C27 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C28 TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C29 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 30.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 30.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 30.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 30.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 30.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 30.4.5 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as or an advice. The absence of Function indicates the message is a confirmation.

*Datatype:* "TransferInFunction2Code" on page 2813

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 30.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 30.4.7 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C28 "TotalUnitsNumberRule"



**TransferDetails <TrfDtls>** contains the following elements (see "Transfer37" on page 2669 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2671
	TransferReference <TrfRef>	[1..1]	Text		2671
	ClientReference <ClntRef>	[0..1]	±		2671
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2671
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2672
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2672
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2672
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2672
	TradeDate <TradDt>	[0..1]	±		2672
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2673
	TransferReason <TrfRsn>	[0..1]	±		2673
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2673
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2673
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2674
	TransferRate <TrfRate>	[0..1]	Rate		2674
	UnitsDetails <UnitsDtls>	[0..*]	±		2674
	Rounding <Rndg>	[0..1]	CodeSet		2675
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2675
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2676
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C2	2676
	AverageDate <AvrgDt>	[0..1]	Date		2676
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2676
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2677
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2677
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2677
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2677

**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 30.4.8 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account into which the financial instrument was received.

**AccountDetails <AcctDtls>** contains the following elements (see "[InvestmentAccount71](#)" on page 1623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1623
	AccountIdentification <AcctId>	[1..1]	Text		1624
	AccountName <AcctNm>	[0..1]	Text		1624
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1624
	AccountServicer <AcctSvcr>	[0..1]	±		1624
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1624
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1625
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1625
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1625
	IncomePreference <IncmPref>	[0..1]	CodeSet		1626
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1626
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1626
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1627

## 30.4.9 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the delivering side of the transfer.

*Impacted by:* [C24 "PhysicalTransferDetails1Rule"](#), [C25 "PhysicalTransferDetails2Rule"](#)

**SettlementDetails <SttlmDtls>** contains the following elements (see "DeliverInformation20" on page 2642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2644
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2644
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2644
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2645
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2645
	IncomePreference <IncmPref>	[0..1]	CodeSet		2645
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2645
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2646
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2646
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2646
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2646
	StampDuty <StmpDty>	[0..1]	CodeSet		2646
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2647
	Fees <Fees>	[0..*]	±	C16	2647
	IndividualTax <IndvTax>	[0..*]	±		2648
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2649
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2650
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2650
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2651
	ClientReference <ClntRef>	[0..1]	±		2651

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

### 30.4.10 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 30.4.11 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

### 30.4.12 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 31 **sese.008.001.09**

## **ReversalOfTransferInConfirmationV09**

### 31.1 **MessageDefinition Functionality**

#### Scope

The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.

#### Usage

The ReversalOfTransferInConfirmation message is used to reverse a previously sent transfer in confirmation.

To request the reversal of a transfer in confirmation, the transfer reference of the transfer in instruction, as specified in the original TransferInInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferInConfirmation message may also be quoted in PreviousReference but this is not recommended.

#### Outline

The ReversalOfTransferInConfirmationV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. Function

Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.

G. ReversalReferences

Reference of the transfer confirmation to be reversed.

**H. MarketPracticeVersion**

Identifies the market practice to which the message conforms.

**I. CopyDetails**

Information provided when the message is a copy of a previous message.

## 31.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <RvslOfTrfInConf>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		443
	<b>PoolReference</b> <PoolRef>	[0..1]	±		443
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		443
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		443
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		444
	<b>Function</b> <Fctn>	[0..1]	CodeSet		444
	<b>ReversalReferences</b> <RvslRefs>	[1..*]			444
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		445
	<b>ClientReference</b> <ClntRef>	[0..1]	±		445
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		445
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		445
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		445
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		446
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		446
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		446

## 31.3 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).

## 31.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 31.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 31.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 31.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 31.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 31.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 31.4.6 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.

*Datatype:* "TransferInFunction2Code" on page 2813

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 31.4.7 ReversalReferences <RvslRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer confirmation to be reversed.

**ReversalReferences <RvslRefs>** contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		445
	<b>ClientReference</b> <ClntRef>	[0..1]	±		445
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		445
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		445
	<b>CancellationReference</b> <CxIRef>	[0..1]	Text		445
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		446



**31.4.7.1 TransferReference <TrfRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**31.4.7.2 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**31.4.7.3 TransferConfirmationReference <TrfConfRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**31.4.7.4 CounterpartyReference <CtrPtyRef>***Presence:* [0..1]*Definition:* Unambiguous identification of the transfer allocated by the counterparty.**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**31.4.7.5 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the reversal as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837

**31.4.7.6 ReversalReason <RvslRsn>***Presence:* [0..1]*Definition:* Reason for the reversal of confirmation.*Datatype:* "Max35Text" on page 2837**31.4.8 MarketPracticeVersion <MktPrctcVrsn>***Presence:* [0..1]*Definition:* Identifies the market practice to which the message conforms.**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

**31.4.9 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation5" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 32 **sese.009.001.08**

# **RequestForTransferStatusReportV08**

### 32.1 **MessageDefinition Functionality**

#### Scope

The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.

The RequestForTransferStatusReport may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to request information relevant for the settlement of a transfer transaction.

#### Usage

The RequestForTransferStatusReport is used to request either:

- the status of one or several information requests or transfer instructions or,
- the status of one or several transfer cancellation instructions, or
- information relevant to one or more transfer instructions.

#### Outline

The RequestForTransferStatusReportV08 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the transfer for which the status is requested.

C. MarketPracticeVersion

Identifies the market practice to which the message conforms.

D. Extension

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

## 32.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForTrfStsRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		450
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C7, C8	450
	<b>Reference</b> <Ref>	[0..1]			452
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		452
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		452
	<b>TypeOfRequest</b> <TpOfReq>	[0..1]			453
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		453
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		453
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		453
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		454
	<b>ClientReference</b> <ClntRef>	[0..1]	±		454
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		454
	<b>Instrument</b> <Instrm>	[0..1]			454
{Or	<b>Security</b> <Scty>	[1..1]	±	C6	454
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C5	455
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		455
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			456
	<b>OwnerIdentification</b> <OwnrId>	[0..1]	±		456
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		457
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		457
	<b>AccountName</b> <AcctNm>	[0..1]	Text		457
	<b>Type</b> <Tp>	[0..1]	±		457
	<b>Servicer</b> <Svcr>	[0..1]	±		458
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		458
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		458
	<b>QueryInformation</b> <QryInf>	[0..*]			459
	<b>QueryType</b> <QryTp>	[0..1]	±		459
	<b>Query</b> <Qry>	[1..1]	Text		460
	<b>QueryReason</b> <QryRsn>	[0..1]	Text		460

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RejectionReason</b> <RjctnRsn>	[0..1]			460
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		460
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		462
	<b>RequestIssuer</b> <ReqIssr>	[0..1]	±		463
	<b>RequestRecipient</b> <ReqRcpt>	[0..1]	±		463
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		463
	<b>Extension</b> <Xtnsn>	[0..*]	±	C4	464

## 32.3 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 Country

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

### C4 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C5 HoldingTransferCurrencyGuideline

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

### C6 IdentificationGuideline

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

### C7 OtherReferenceRule

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

### C8 PreviousReferenceRule

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

## 32.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 32.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 32.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the transfer for which the status is requested.

*Impacted by:* [C7 "OtherReferenceRule"](#), [C8 "PreviousReferenceRule"](#)

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]			452
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		452
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		452
	<b>TypeOfRequest</b> <TpOfReq>	[0..1]			453
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		453
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		453
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		453
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		454
	<b>ClientReference</b> <ClntRef>	[0..1]	±		454
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		454
	<b>Instrument</b> <Instrm>	[0..1]			454
{Or	<b>Security</b> <Scty>	[1..1]	±	C6	454
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C5	455
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		455
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			456
	<b>OwnerIdentification</b> <Ownrld>	[0..1]	±		456
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		457
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		457
	<b>AccountName</b> <AcctNm>	[0..1]	Text		457
	<b>Type</b> <Tp>	[0..1]	±		457
	<b>Servicer</b> <Svcr>	[0..1]	±		458
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		458
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		458
	<b>QueryInformation</b> <QryInf>	[0..*]			459
	<b>QueryType</b> <QryTp>	[0..1]	±		459
	<b>Query</b> <Qry>	[1..1]	Text		460
	<b>QueryReason</b> <QryRsn>	[0..1]	Text		460
	<b>RejectionReason</b> <RjctnRsn>	[0..1]			460
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		460
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		462
	<b>RequestIssuer</b> <ReqIssr>	[0..1]	±		463

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RequestRecipient</b> <ReqRcpt>	[0..1]	±		463

**Constraints**

- **OtherReferenceRule**

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

- **PreviousReferenceRule**

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

**32.4.2.1 Reference <Ref>**

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously sent.

**Reference <Ref>** contains one of the following **References68Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		452
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		452

**32.4.2.1.1 PreviousReference <PrvsRef>**

*Presence:* [1..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**32.4.2.1.2 OtherReference <OthrRef>**

*Presence:* [1..1]

*Definition:* Reference to a linked message sent in a proprietary way or the reference of a system.



**OtherReference <OthrRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 32.4.2.2 TypeOfRequest <TpOfReq>

*Presence:* [0..1]

*Definition:* Type of request required.

**TypeOfRequest <TpOfReq>** contains one of the following **TypeOfRequest1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		453
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		453

#### 32.4.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of request expressed as a code.

*Datatype:* "[TypeOfRequest1Code](#)" on page 2821

CodeName	Name	Definition
INFO	Information	Request for information.
STAT	Status	Request for status.

#### 32.4.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of request expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

### 32.4.2.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

#### 32.4.2.4 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 32.4.2.5 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 32.4.2.6 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 32.4.2.7 Instrument <Instrm>

*Presence:* [0..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C6	454
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C5	455
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		455

##### 32.4.2.7.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

Impacted by: C6 "IdentificationGuideline"

**Security <Scty>** contains the following elements (see "FinancialInstrumentIdentification2" on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

#### Constraints

- **IdentificationGuideline**

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

#### 32.4.2.7.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

Impacted by: C5 "HoldingTransferCurrencyGuideline"

**CashAsset <CshAsst>** contains the following elements (see "CashAsset3" on page 1530 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

#### Constraints

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

#### 32.4.2.7.3 OtherAsset <OthrAsst>

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

### 32.4.2.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Investment account information of the transfer for which the status or information is requested.

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **Account33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OwnerIdentification</b> <OwnrId>	[0..1]	±		456
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		457
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		457
	<b>AccountName</b> <AcctNm>	[0..1]	Text		457
	<b>Type</b> <Tp>	[0..1]	±		457
	<b>Servicer</b> <Svcr>	[0..1]	±		458
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		458

#### 32.4.2.8.1 OwnerIdentification <OwnrId>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 32.4.2.8.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 32.4.2.8.3 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2837

#### 32.4.2.8.4 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 32.4.2.8.5 Type <Tp>

*Presence:* [0..1]

*Definition:* Specifies the type of securities account.

**Type <Tp>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

**32.4.2.8.6 Servicer <Svcr>***Presence:* [0..1]*Definition:* Institution that maintains the records where the account is held.**Servicer <Svcr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

**32.4.2.8.7 SubAccountDetails <SubAcctDtls>***Presence:* [0..1]*Definition:* Sub-account of the master or omnibus account.**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

**32.4.2.9 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary48" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2076
	Account <Acct>	[0..1]			2076
	AccountIdentification <AcctId>	[0..1]	Text		2077
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2077
	AccountName <AcctNm>	[0..1]	Text		2077
	AccountServicer <AcctSvcr>	[1..1]	±		2077
	RegistrationAddress <RegnAdr>	[0..1]	±		2078
	Role <Role>	[0..1]			2078
{Or	Code <Cd>	[1..1]	CodeSet		2078
Or}	Proprietary <Prtry>	[1..1]	±		2080
	ContactPerson <CtctPrsn>	[0..1]	±		2080

### 32.4.2.10 QueryInformation <QryInf>

*Presence:* [0..\*]

*Definition:* Information about the query.

**QueryInformation <QryInf>** contains the following **AdditionalInformation25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>QueryType</b> <QryTp>	[0..1]	±		459
	<b>Query</b> <Qry>	[1..1]	Text		460
	<b>QueryReason</b> <QryRsn>	[0..1]	Text		460
	<b>RejectionReason</b> <RjctnRsn>	[0..1]			460
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		460
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		462

#### 32.4.2.10.1 QueryType <QryTp>

*Presence:* [0..1]

*Definition:* Type of query.

**QueryType <QryTp>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 32.4.2.10.2 Query <Qry>

*Presence:* [1..1]

*Definition:* Description of the query.

*Datatype:* "[Max350Text](#)" on page 2837

#### 32.4.2.10.3 QueryReason <QryRsn>

*Presence:* [0..1]

*Definition:* Reason for the query.

*Datatype:* "[Max350Text](#)" on page 2837

#### 32.4.2.10.4 RejectionReason <RjctnRsn>

*Presence:* [0..1]

*Definition:* Reason the instruction was rejected.

**RejectionReason <RjctnRsn>** contains one of the following **RejectedReason33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		460
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		462

##### 32.4.2.10.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "[RejectedStatusReason12Code](#)" on page 2786

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.



CodeName	Name	Definition
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.

CodeName	Name	Definition
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

**32.4.2.10.4.2 Proprietary <Prtry>***Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

### 32.4.2.11 RequestIssuer <ReqIssr>

*Presence:* [0..1]

*Definition:* Party that issues the request message.

**RequestIssuer <ReqIssr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

### 32.4.2.12 RequestRecipient <ReqRcpt>

*Presence:* [0..1]

*Definition:* Party that receives the request message.

**RequestRecipient <ReqRcpt>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

## 32.4.3 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 32.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C4 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 33 sese.010.001.07 TransferCancellationStatusReportV07

## 33.1 MessageDefinition Functionality

### Scope

The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.

### Usage

The TransferCancellationStatusReport message is used to report on the status of a transfer in or transfer out cancellation request.

The reference of the transfer instruction for which the cancellation status is reported is identified in TransferReference. The message identification of the transfer cancellation request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

The message identification of the transfer instruction request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

One of the following statuses can be reported:

- the transfer cancellation is accepted, or,
- the transfer cancellation has been sent to the next party, or,
- the transfer cancellation is complete and the reason for the status,
- the transfer cancellation pending and the reason for the status,
- the transfer cancellation is rejected and the reason for the status.

### Outline

The TransferCancellationStatusReportV07 MessageDefinition is composed of 6 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. CounterpartyReference

Unambiguous identification of the transfer allocated by the counterparty.

#### C. Reference

Reference to the message or communication that was previously received.

#### D. StatusReport

Status of the transfer cancellation instruction.

#### E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### F. Extension

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

## 33.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrfCxlStsRpt>	[1..1]		C4, C5	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		467
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		467
	<b>Reference</b> <Ref>	[0..1]	±		468
	<b>StatusReport</b> <StsRpt>	[1..1]			468
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		468
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		468
	<b>ClientReference</b> <ClntRef>	[0..1]	±		469
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		469
	<b>Status</b> <Sts>	[1..1]			469
{Or	<b>Status</b> <Sts>	[1..1]	±		469
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		470
Or	<b>Complete</b> <Cmplt>	[1..1]	±		470
Or}	<b>Pending</b> <Pdg>	[1..1]	±		470
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		470
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		471
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	471

## 33.3 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 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C4 OtherReferenceRule**

Reference/OtherReference should be used to reference a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, References/OtherReference/MessageName must contain, for example, 'fax' or 'phone' or 'email'.

*This constraint is defined at the MessageDefinition level.*

**C5 RelatedReferenceRule**

If Reference/RelatedReference/MessageName is present, it must start with sese.002, sese.006, sese.009 or sese.014.

*This constraint is defined at the MessageDefinition level.*

## 33.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 33.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 33.4.2 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 33.4.3 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "References64Choice" on page 1574 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1574
Or}	OtherReference <OthrRef>	[1..2]	±		1575

### 33.4.4 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation instruction.

**StatusReport <StsRpt>** contains the following **CancellationStatusAndReason5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		468
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		468
	<b>ClientReference</b> <ClntRef>	[0..1]	±		469
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		469
	<b>Status</b> <Sts>	[1..1]			469
{Or	<b>Status</b> <Sts>	[1..1]	±		469
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		470
Or	<b>Complete</b> <Cmplt>	[1..1]	±		470
Or}	<b>Pending</b> <Pdg>	[1..1]	±		470
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		470

#### 33.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

#### 33.4.4.2 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837



**33.4.4.3 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.**ClientReference <CIntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**33.4.4.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.*Datatype:* "[Max35Text](#)" on page 2837**33.4.4.5 Status <Sts>***Presence:* [1..1]*Definition:* Status of the transfer cancellation.**Status <Sts>** contains one of the following **Status31Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Status</b> <Sts>	[1..1]	±		469
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		470
Or	<b>Complete</b> <Cmplt>	[1..1]	±		470
Or}	<b>Pending</b> <Pdg>	[1..1]	±		470

**33.4.4.5.1 Status <Sts>***Presence:* [1..1]*Definition:* Status of the transfer cancellation is accepted or sent to next party.**Status <Sts>** contains the following elements (see "[TransferCancellationStatus3](#)" on page 2520 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2520
	Reason <Rsn>	[0..1]	Text		2520

**33.4.4.5.2 Rejected <Rjctd>***Presence:* [1..1]*Definition:* Status of the transfer cancellation is rejected.**Rejected <Rjctd>** contains the following elements (see "[RejectionReason33](#)" on page 2702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2703
{Or	Code <Cd>	[1..1]	CodeSet		2703
Or}	Proprietary <Prtry>	[1..1]	±		2703
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2703

**33.4.4.5.3 Complete <Cmplt>***Presence:* [1..1]*Definition:* Status of the transfer cancellation is complete. The cancellation instruction has been accepted and processed, the cancellation is complete.**Complete <Cmplt>** contains the following elements (see "[CancelledCompleteReason1](#)" on page 2695 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2695
{Or	Code <Cd>	[1..1]	CodeSet		2695
Or}	Proprietary <Prtry>	[1..1]	±		2695
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2696

**33.4.4.5.4 Pending <Pdg>***Presence:* [1..1]*Definition:* Status of the transfer cancellation is pending.**Pending <Pdg>** contains the following elements (see "[TransferCancellationPendingStatus1](#)" on page 2700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		2700

**33.4.4.6 StatusInitiator <StsInitr>***Presence:* [0..1]*Definition:* Party that initiates the status.

**StatusInitiator <StsIntr>** contains the following elements (see ["PartyIdentification139"](#) on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

### 33.4.5 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 33.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 34 sese.011.001.09 TransferInstructionStatusReportV09

## 34.1 MessageDefinition Functionality

### Scope

The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.

It may also be used to report the status of an event related to the asset being transferred or provide additional information.

The TransferInstructionStatusReport message may also be sent by any party in the transfer transaction to another party in the transfer transaction chain to provide information relevant for the settlement of a transfer transaction.

### Usage

The TransferInstructionStatusReport message is used to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction, or in response to a RequestForTransferStatus message. It may also be used to report the status of an event related to the asset being transferred or provide additional information.

### Outline

The TransferInstructionStatusReportV09 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. CounterpartyReference

Unambiguous identification of the transfer allocated by the counterparty.

C. Reference

Reference to the message or communication that was previously received.

D. StatusReport

Status of the transfer instruction.

E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

F. Extension

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

## 34.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfInstrStsRpt>	[1..1]		C18, C20	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		477
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		478
	<b>Reference</b> <Ref>	[0..1]	±		478
	<b>StatusReport</b> <StsRpt>	[1..1]		C7, C22, C23	478
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		481
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		482
	<b>ClientReference</b> <ClnRef>	[0..1]	±		482
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		482
	<b>TransferEventType</b> <TrfEvtTp>	[0..*]			482
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		482
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		483
	<b>TransferStatus</b> <TrfSts>	[1..1]			483
{Or	<b>Status</b> <Sts>	[1..1]	±		484
Or	<b>PendingSettlement</b> <PdgSttlm>	[1..1]	±		484
Or	<b>Unmatched</b> <Umtchd>	[1..1]	±		485
Or	<b>InRepair</b> <InRpr>	[1..1]	±		485
Or	<b>Rejected</b> <Rjctd>	[1..10]		C19	485
	<b>Reason</b> <Rsn>	[1..1]			486
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		486
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		488
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		489
Or	<b>FailedSettlement</b> <FaildSttlm>	[1..1]	±		489
Or	<b>Cancelled</b> <Canc>	[1..1]	±		489
Or	<b>Reversed</b> <Rvsd>	[1..1]	±		489
Or}	<b>CancellationPending</b> <CxlPdg>	[1..1]	±		490
	<b>Instrument</b> <Instrm>	[0..1]			490
{Or	<b>Security</b> <Scty>	[1..1]	±	C15	490
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C13	491

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		491
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			492
	<b>OwnerIdentification</b> <Ownrld>	[0..1]	±		492
	<b>AccountIdentification</b> <Acctld>	[0..1]	Text		493
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		493
	<b>AccountName</b> <AcctNm>	[0..1]	Text		493
	<b>Type</b> <Tp>	[0..1]	±		493
	<b>Servicer</b> <Svcr>	[0..1]	±		494
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		494
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		494
	<b>TradeDate</b> <TradDt>	[0..1]	Date		495
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		495
	<b>SendOutDate</b> <SndOutDt>	[0..1]	Date		495
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		495
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		496
	<b>AveragePrice</b> <AvrgPric>	[0..1]	Amount	C2	496
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		496
	<b>Conversion</b> <Convs>	[0..1]			497
	<b>SourceSecurity</b> <SrcScty>	[1..1]		C16	498
	<b>Identification</b> <Id>	[1..1]	±		498
	<b>Name</b> <Nm>	[0..1]	Text		499
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		499
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		499
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]			500
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		500
	<b>OrderDate</b> <OrdrDt>	[0..1]	Date		500
	<b>AcquisitionDate</b> <AcqstnDt>	[0..1]	Date		500
	<b>CertificateNumber</b> <CertNb>	[0..*]	Text		500
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		500
	<b>Reference</b> <Ref>	[0..1]	Text		501
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		501

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalTransferValue</b> <TtlTrfVal>	[0..1]	Amount	C1	501
	<b>PaymentDetails</b> <PmtDtls>	[0..*]	±		501
	<b>BenefitCrystallisationEvent</b> <BnftCrstllstnEvt>	[0..*]	±		504
	<b>DrawdownTranche</b> <DrwdwnTrch>	[0..*]	±	C5	504
	<b>OtherDrawdownInformation</b> <OthrDrwdwnInf>	[0..1]			506
	<b>EmploymentDetails</b> <MplymntDtls>	[0..1]			506
	<b>TaxCode</b> <TaxCd>	[0..1]	±		507
	<b>OtherTaxCodeIndicator</b> <OthrTaxCdInd>	[0..1]	Indicator		507
	<b>CumulativeTaxIndicator</b> <CmltvTaxInd>	[0..1]	Indicator		507
	<b>PreviousPay</b> <PrvsPay>	[0..1]	Amount	C1, C10	508
	<b>PreviousTax</b> <PrvsTax>	[0..1]	Amount	C1, C10	508
	<b>StartDate</b> <StartDt>	[0..1]	±		508
	<b>EndDate</b> <EndDt>	[0..1]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509
	<b>QueryResponse</b> <QryRspn>	[0..*]	Text		509
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		509
	<b>StatusIssuer</b> <StsIssr>	[0..1]	±		510
	<b>StatusRecipient</b> <StsRcpt>	[0..1]	±		510
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		510
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		510
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	511

## 34.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 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.

**C4 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C5 BeneficiaryDetailsRule**

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

**C6 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.

**C7 ConversionRule**

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then Conversion must be present.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C14 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.



**C15 IdentificationGuideline**

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

**C16 IdentificationGuideline**

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

**C17 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C18 OtherReferenceRule**

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C19 OtherRule**

If Reason/Code/OTHR (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

**C20 RelatedReferenceRule**

If Reference/RelatedReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.009, sese.012 or sese.014.

*This constraint is defined at the MessageDefinition level.*

**C21 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C22 TransferStatusEventType1Rule**

If at least one occurrence of TransferEventType is Information (INFO) then TransferStatus/Status/Status must be equal to Received (RECE).

**C23 TransferStatusEventType2Rule**

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then TransferStatus/Status/Status must be equal to Received (RECE).

## 34.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 34.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 34.4.2 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 34.4.3 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References64Choice](#)" on page 1574 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1574
Or}	OtherReference <OthrRef>	[1..2]	±		1575

## 34.4.4 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the transfer instruction.

*Impacted by:* [C7 "ConversionRule"](#), [C22 "TransferStatusEventType1Rule"](#), [C23 "TransferStatusEventType2Rule"](#)

**StatusReport <StsRpt>** contains the following **TransferStatusAndReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		481
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		482
	<b>ClientReference</b> <ClntRef>	[0..1]	±		482
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		482
	<b>TransferEventType</b> <TrfEvtTp>	[0..*]			482
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		482
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		483
	<b>TransferStatus</b> <TrfSts>	[1..1]			483
{Or	<b>Status</b> <Sts>	[1..1]	±		484
Or	<b>PendingSettlement</b> <PdgSttlm>	[1..1]	±		484
Or	<b>Unmatched</b> <Umtchd>	[1..1]	±		485
Or	<b>InRepair</b> <InRpr>	[1..1]	±		485
Or	<b>Rejected</b> <Rjctd>	[1..10]		C19	485
	<b>Reason</b> <Rsn>	[1..1]			486
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		486
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		488
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		489
Or	<b>FailedSettlement</b> <FaildSttlm>	[1..1]	±		489
Or	<b>Cancelled</b> <Canc>	[1..1]	±		489
Or	<b>Reversed</b> <Rvsd>	[1..1]	±		489
Or}	<b>CancellationPending</b> <CxlPdg>	[1..1]	±		490
	<b>Instrument</b> <Instrm>	[0..1]			490
{Or	<b>Security</b> <Scty>	[1..1]	±	C15	490
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C13	491
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		491
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			492
	<b>OwnerIdentification</b> <Ownrld>	[0..1]	±		492
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		493
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		493
	<b>AccountName</b> <AcctNm>	[0..1]	Text		493
	<b>Type</b> <Tp>	[0..1]	±		493

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Servicer</b> <Svcr>	[0..1]	±		494
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		494
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		494
	<b>TradeDate</b> <TradDt>	[0..1]	Date		495
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		495
	<b>SendOutDate</b> <SndOutDt>	[0..1]	Date		495
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		495
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		496
	<b>AveragePrice</b> <AvrgPric>	[0..1]	Amount	C2	496
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		496
	<b>Conversion</b> <Convs>	[0..1]			497
	<b>SourceSecurity</b> <SrcScty>	[1..1]		C16	498
	<b>Identification</b> <Id>	[1..1]	±		498
	<b>Name</b> <Nm>	[0..1]	Text		499
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		499
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		499
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]			500
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		500
	<b>OrderDate</b> <OrdrDt>	[0..1]	Date		500
	<b>AcquisitionDate</b> <AcqstnDt>	[0..1]	Date		500
	<b>CertificateNumber</b> <CertNb>	[0..*]	Text		500
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		500
	<b>Reference</b> <Ref>	[0..1]	Text		501
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		501
	<b>TotalTransferValue</b> <TtlTrfVal>	[0..1]	Amount	C1	501
	<b>PaymentDetails</b> <PmtDtls>	[0..*]	±		501
	<b>BenefitCrystallisationEvent</b> <BnftCrstllstnEvt>	[0..*]	±		504
	<b>DrawdownTranche</b> <DrwdwnTrch>	[0..*]	±	C5	504
	<b>OtherDrawdownInformation</b> <OthrDrwdwnInf>	[0..1]			506
	<b>EmploymentDetails</b> <MplymntDtls>	[0..1]			506
	<b>TaxCode</b> <TaxCd>	[0..1]	±		507

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OtherTaxCodeIndicator</b> <OthrTaxCdInd>	[0..1]	Indicator		507
	<b>CumulativeTaxIndicator</b> <CmltvTaxInd>	[0..1]	Indicator		507
	<b>PreviousPay</b> <PrvsPay>	[0..1]	Amount	C1, C10	508
	<b>PreviousTax</b> <PrvsTax>	[0..1]	Amount	C1, C10	508
	<b>StartDate</b> <StartDt>	[0..1]	±		508
	<b>EndDate</b> <EndDt>	[0..1]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509
	<b>QueryResponse</b> <QryRspn>	[0..*]	Text		509
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		509
	<b>StatusIssuer</b> <StsIssr>	[0..1]	±		510
	<b>StatusRecipient</b> <StsRcpt>	[0..1]	±		510
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		510

#### Constraints

- **ConversionRule**

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then Conversion must be present.

On Condition

/TransferEventType[\*]/Code is equal to value 'ConversionStatus'

Following Must be True

/Conversion Must be present

- **TransferStatusEventType1Rule**

If at least one occurrence of TransferEventType is Information (INFO) then TransferStatus/Status/Status must be equal to Received (RECE).

On Condition

/TransferEventType[\*]/Code is equal to value 'Information'

Following Must be True

/TransferStatus/Status/Status Must be equal to value 'Received'

- **TransferStatusEventType2Rule**

If at least one occurrence of TransferEventType is ConversionStatus (CONV) then TransferStatus/Status/Status must be equal to Received (RECE).

On Condition

/TransferEventType[\*]/Code is equal to value 'ConversionStatus'

Following Must be True

/TransferStatus/Status/Status Must be equal to value 'Received'

#### 34.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

#### 34.4.4.2 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 34.4.4.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 34.4.4.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 34.4.4.5 TransferEventType <TrfEvtTp>

*Presence:* [0..\*]

*Definition:* Type of event for which the message is sent.

**TransferEventType <TrfEvtTp>** contains one of the following **TransferStatusType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		482
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		483

##### 34.4.4.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of event expressed as a code.

*Datatype:* "TransferStatusType2Code" on page 2815

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
INFO	Information	Status report is sent to provide information pertinent to the transfer. May be sent in response to a request for transfer status.
STAT	Status	Status report is sent to provide the status of a transfer. May be sent in response to a request for transfer status.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
CONV	ConversionStatus	Status report is sent to provide the number of units following a conversion.

#### 34.4.4.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of event expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 34.4.4.6 TransferStatus <TrfSts>

*Presence:* [1..1]

*Definition:* Status of the transfer instruction.

**TransferStatus <TrfSts>** contains one of the following **TransferStatus5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Status &lt;Sts&gt;</b>	[1..1]	±		484
Or	<b>PendingSettlement &lt;PdgSttlm&gt;</b>	[1..1]	±		484
Or	<b>Unmatched &lt;Umtchd&gt;</b>	[1..1]	±		485
Or	<b>InRepair &lt;InRpr&gt;</b>	[1..1]	±		485
Or	<b>Rejected &lt;Rjctd&gt;</b>	[1..10]		C19	485
	<b>Reason &lt;Rsn&gt;</b>	[1..1]			486
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		486
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		488
	<b>AdditionalReasonInformation &lt;AddtlRsnInf&gt;</b>	[0..1]	Text		489
Or	<b>FailedSettlement &lt;FaildSttlm&gt;</b>	[1..1]	±		489
Or	<b>Cancelled &lt;Canc&gt;</b>	[1..1]	±		489
Or	<b>Reversed &lt;Rvsd&gt;</b>	[1..1]	±		489
Or}	<b>CancellationPending &lt;CxlPdg&gt;</b>	[1..1]	±		490

#### 34.4.4.6.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer is received, accepted, sent to next party, matched, already executed, or settled.

**Status <Sts>** contains the following elements (see ["TransferInstructionStatus5"](#) on page 2543 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2543
	Reason <Rsn>	[0..1]	Text		2544

#### 34.4.4.6.2 PendingSettlement <PdgSttlm>

*Presence:* [1..1]

*Definition:* Status of the transfer is pending settlement.



**PendingSettlement <PdgSttlm>** contains one of the following elements (see "PendingSettlementStatus3Choice" on page 2697 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2698
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2699
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2700
Or}	NoSpecifiedReason <NoSpctfdRsn>	[1..1]	CodeSet		2700

#### 34.4.4.6.3 Unmatched <Umtchd>

*Presence:* [1..1]

*Definition:* Status of the transfer is unmatched.

**Unmatched <Umtchd>** contains one of the following elements (see "TransferUnmatchedStatus4Choice" on page 2535 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctfdRsn>	[1..1]	CodeSet		2535
Or	Reason <Rsn>	[1..1]	CodeSet		2535
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2536
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2536

#### 34.4.4.6.4 InRepair <InRpr>

*Presence:* [1..1]

*Definition:* Status of the transfer is in repair.

**InRepair <InRpr>** contains one of the following elements (see "InRepairStatus4Choice" on page 2700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2701
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2701
Or}	NoSpecifiedReason <NoSpctfdRsn>	[1..1]	CodeSet		2701

#### 34.4.4.6.5 Rejected <Rjctd>

*Presence:* [1..10]

*Definition:* Status of the transfer is rejected.

*Impacted by:* C19 "OtherRule"

**Rejected <Rjctd>** contains the following **RejectionReason56** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason</b> <Rsn>	[1..1]			486
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		486
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		488
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		489

#### Constraints

- **OtherRule**

If Reason/Code/OTHR (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

#### 34.4.4.6.5.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		486
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		488

#### 34.4.4.6.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason13Code" on page 2788

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.

CodeName	Name	Definition
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.

CodeName	Name	Definition
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
NCMP	NotCompliantWithMarketPractice	Instruction is not compliant with the relevant market practice.

**34.4.4.6.5.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 34.4.4.6.5.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected status reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 34.4.4.6.6 FailedSettlement <FaildSttlm>

*Presence:* [1..1]

*Definition:* Status of the transfer is failed settlement, that is, settlement in the International Central Securities Depository (ICSD) or Central Securities Depository (CSD) failed.

**FailedSettlement <FaildSttlm>** contains one of the following elements (see "[FailedSettlementStatus2Choice](#)" on page 2694 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2694
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2694
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2694

#### 34.4.4.6.7 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the transfer is cancelled.

**Cancelled <Canc>** contains one of the following elements (see "[CancelledStatus13Choice](#)" on page 2692 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2693
Or	Reason <Rsn>	[1..1]	CodeSet		2693
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2693
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2693

#### 34.4.4.6.8 Reversed <Rvsd>

*Presence:* [1..1]

*Definition:* Status of the transfer is reversed.

**Reversed <Rvsd>** contains one of the following elements (see ["ReversedStatus2Choice"](#) on page 2696 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2697
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2697
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2697

#### 34.4.4.6.9 CancellationPending <CxIPdg>

*Presence:* [1..1]

*Definition:* Status of the transfer is cancellation pending.

**CancellationPending <CxIPdg>** contains one of the following elements (see ["CancellationPendingStatus7Choice"](#) on page 2696 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2696
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2696
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2696

#### 34.4.4.7 Instrument <Instrm>

*Presence:* [0..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C15	490
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C13	491
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		491

#### 34.4.4.7.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* [C15 "IdentificationGuideline"](#)

**Security <Scty>** contains the following elements (see "[FinancialInstrumentIdentification2](#)" on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

#### Constraints

- **IdentificationGuideline**

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

#### 34.4.4.7.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

*Impacted by:* [C13 "HoldingTransferCurrencyGuideline"](#)

**CashAsset <CshAsst>** contains the following elements (see "[CashAsset3](#)" on page 1530 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

#### Constraints

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

#### 34.4.4.7.3 OtherAsset <OthrAsst>

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

#### 34.4.4.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Investment account information of the transfer for which the status or information is provided.

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **Account33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OwnerIdentification</b> <OwnrId>	[0..1]	±		492
	<b>AccountIdentification</b> <AcctId>	[0..1]	Text		493
	<b>AccountDesignation</b> <AcctDsgnt>	[0..1]	Text		493
	<b>AccountName</b> <AcctNm>	[0..1]	Text		493
	<b>Type</b> <Tp>	[0..1]	±		493
	<b>Servicer</b> <Svcr>	[0..1]	±		494
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..1]	±		494

##### 34.4.4.8.1 OwnerIdentification <OwnrId>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.



**OwnerIdentification <OwnrId>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 34.4.4.8.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 34.4.4.8.3 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2837

#### 34.4.4.8.4 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 34.4.4.8.5 Type <Tp>

*Presence:* [0..1]

*Definition:* Specifies the type of securities account.

**Type <Tp>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

**34.4.4.8.6 Servicer <Svcr>***Presence:* [0..1]*Definition:* Institution that maintains the records where the account is held.**Servicer <Svcr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

**34.4.4.8.7 SubAccountDetails <SubAcctDtls>***Presence:* [0..1]*Definition:* Sub-account of the master or omnibus account.**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

**34.4.4.9 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary48" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2076
	Account <Acct>	[0..1]			2076
	AccountIdentification <AcctId>	[0..1]	Text		2077
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2077
	AccountName <AcctNm>	[0..1]	Text		2077
	AccountServicer <AcctSvcr>	[1..1]	±		2077
	RegistrationAddress <RegnAdr>	[0..1]	±		2078
	Role <Role>	[0..1]			2078
{Or	Code <Cd>	[1..1]	CodeSet		2078
Or}	Proprietary <Prtry>	[1..1]	±		2080
	ContactPerson <CtctPrsn>	[0..1]	±		2080

#### 34.4.4.10 TradeDate <TradDt>

*Presence:* [0..1]

*Definition:* Date on which the transfer was executed.

In some scenarios, this is the date and time to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

#### 34.4.4.11 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date at which the securities are to be exchanged or were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

#### 34.4.4.12 SendOutDate <SndOutDt>

*Presence:* [0..1]

*Definition:* Date on which the document, for example, the application form, was sent.

*Datatype:* "ISODate" on page 2822

#### 34.4.4.13 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

**34.4.4.14 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Number of units to be transferred.

*Datatype:* "DecimalNumber" on page 2834

**34.4.4.15 AveragePrice <AvrgPric>**

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account. The average price may also be known as the average acquisition price.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**34.4.4.16 UnitsDetails <UnitsDtls>**

*Presence:* [0..\*]

*Definition:* Breakdown of units to be transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdrDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

#### 34.4.4.17 Conversion <Convs>

*Presence:* [0..1]

*Definition:* Information about the source security following a conversion.

**Conversion <Convs>** contains the following **Conversion2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SourceSecurity</b> <SrcScty>	[1..1]		C16	498
	<b>Identification</b> <Id>	[1..1]	±		498
	<b>Name</b> <Nm>	[0..1]	Text		499
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		499
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		499
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]			500
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		500
	<b>OrderDate</b> <OrdDt>	[0..1]	Date		500
	<b>AcquisitionDate</b> <AcqstnDt>	[0..1]	Date		500
	<b>CertificateNumber</b> <CertNb>	[0..*]	Text		500
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		500
	<b>Reference</b> <Ref>	[0..1]	Text		501
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		501

#### 34.4.4.17.1 SourceSecurity <SrcScty>

*Presence:* [1..1]

*Definition:* Identification of the source security.

*Impacted by:* C16 "IdentificationGuideline"

**SourceSecurity <SrcScty>** contains the following **FinancialInstrumentIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		498
	<b>Name</b> <Nm>	[0..1]	Text		499
	<b>ShortName</b> <ShrtNm>	[0..1]	Text		499

#### Constraints

- **IdentificationGuideline**

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

#### 34.4.4.17.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 34.4.4.17.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 34.4.4.17.1.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 34.4.4.17.2 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Number of units of the source security.

*Datatype:* "DecimalNumber" on page 2834

**34.4.4.17.3 UnitsDetails <UnitsDtls>***Presence:* [0..\*]*Definition:* Breakdown of units of the source security.**UnitsDetails <UnitsDtls>** contains the following **Unit13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		500
	<b>OrderDate</b> <OrdrDt>	[0..1]	Date		500
	<b>AcquisitionDate</b> <AcqstnDt>	[0..1]	Date		500
	<b>CertificateNumber</b> <CertNb>	[0..*]	Text		500
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		500
	<b>Reference</b> <Ref>	[0..1]	Text		501

**34.4.4.17.3.1 UnitsNumber <UnitsNb>***Presence:* [1..1]*Definition:* Quantity of units.*Datatype:* "DecimalNumber" on page 2834**34.4.4.17.3.2 OrderDate <OrdrDt>***Presence:* [0..1]*Definition:* Date the investor or its agent placed the original order.*Datatype:* "ISODate" on page 2822**34.4.4.17.3.3 AcquisitionDate <AcqstnDt>***Presence:* [0..1]*Definition:* Date the investor purchased the financial instrument.*Datatype:* "ISODate" on page 2822**34.4.4.17.3.4 CertificateNumber <CertNb>***Presence:* [0..\*]*Definition:* Certificate representing the security.*Datatype:* "Max35Text" on page 2837**34.4.4.17.3.5 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.*Datatype:* "UKTaxGroupUnit1Code" on page 2821



CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

**34.4.4.17.3.6 Reference <Ref>***Presence:* [0..1]*Definition:* Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.*Datatype:* "Max35Text" on page 2837**34.4.4.17.4 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the conversion.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**34.4.4.18 TotalTransferValue <TtlTrfVal>***Presence:* [0..1]*Definition:* Total transfer value.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704**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.

**34.4.4.19 PaymentDetails <PmtDtls>***Presence:* [0..\*]*Definition:* Details of a payment that will result from or resulting from the liquation of an asset and transfer of cash or for the transfer of cash that was not invested.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument18" on page 2206 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2209
	Amount <Amt>	[1..1]	Amount	C1	2209
	PaymentDate <PmtDt>	[0..1]	Date		2209
	CashSettlementDetails <CshSttlmDtls>	[0..1]			2209
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2212
	Debtor <Dbtr>	[0..1]	±		2214
	DebtorAccount <DbtrAcct>	[0..1]			2215
	Name <Nm>	[0..1]	Text		2215
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2215
	Other <Othr>	[0..1]	±		2215
	DebtorAgent <DbtrAgt>	[0..1]			2216
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2216
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2216
	NameAndAddress <NmAndAdr>	[0..1]	±		2217
	LEI <LEI>	[0..1]	IdentifierSet		2217
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2218
	BranchIdentification <BrnchId>	[0..1]	±		2218
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2218
	Name <Nm>	[0..1]	Text		2218
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2218
	Other <Othr>	[0..1]	±		2219
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2219
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2219
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2220
	NameAndAddress <NmAndAdr>	[0..1]	±		2221
	LEI <LEI>	[0..1]	IdentifierSet		2221
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2221
	BranchIdentification <BrnchId>	[0..1]	±		2221
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2221
	Name <Nm>	[0..1]	Text		2222

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2222
	Other <Othr>	[0..1]	±		2222
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2223
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2223
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2223
	NameAndAddress <NmAndAdr>	[0..1]	±		2224
	LEI <LEI>	[0..1]	IdentifierSet		2224
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2225
	BranchIdentification <BrnchId>	[0..1]	±		2225
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2225
	Name <Nm>	[0..1]	Text		2225
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2225
	Other <Othr>	[0..1]	±		2226
	CreditorAgent <CdtrAgt>	[1..1]			2226
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2226
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2227
	NameAndAddress <NmAndAdr>	[0..1]	±		2227
	LEI <LEI>	[0..1]	IdentifierSet		2228
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2228
	BranchIdentification <BrnchId>	[0..1]	±		2228
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2228
	Name <Nm>	[0..1]	Text		2229
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2229
	Other <Othr>	[0..1]	±		2229
	Creditor <Cdtr>	[0..1]	±		2229
	CreditorAccount <CdtrAcct>	[1..1]			2230
	Name <Nm>	[0..1]	Text		2230
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2230
	Other <Othr>	[0..1]	±		2230
Or}	ChequeDetails <ChqDtls>	[1..1]			2231
	Number <Nb>	[0..1]	Text		2231

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[0..1]	±		2231
	DraweeIdentification <Drweeld>	[0..1]			2232
	Party <Pty>	[1..1]			2232
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		2234
	LEI <LEI>	[0..1]	IdentifierSet		2234
	DrawerIdentification <Drwrld>	[0..1]	±		2235

#### 34.4.4.20 BenefitCrystallisationEvent <BnftCrstllstnEvt>

*Presence:* [0..\*]

*Definition:* Information about the realisation of benefits taken from a pension.

**BenefitCrystallisationEvent <BnftCrstllstnEvt>** contains the following elements (see "BenefitCrystallisationEvent2" on page 1850 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeName <EvtTpNb>	[0..1]	Text		1850
	EventTypeName <EvtTpNm>	[0..1]	Text		1850
	EventDate <EvtDt>	[0..1]	Date		1850
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C1	1851
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		1851
	LifetimeAllowanceProtection <LftmAllwncPrtn>	[0..1]	Indicator		1851
	AdditionalInformation <AddtlInf>	[0..*]	±		1851

#### 34.4.4.21 DrawdownTranche <DrwdwnTrch>

*Presence:* [0..\*]

*Definition:* Details of a drawdown tranche.

*Impacted by:* C5 "BeneficiaryDetailsRule"

**DrawdownTranche <DrwdwnTrch>** contains the following elements (see "Drawdown2" on page 1812 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1814
	TrancheType <TrchTp>	[1..1]	±		1814
	ApplicableRules <AplblRules>	[0..1]			1814
{Or	Code <Cd>	[1..1]	CodeSet		1814
Or}	Proprietary <Prtry>	[1..1]	±		1815
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1815
	Type <Tp>	[0..1]			1815
{Or	Code <Cd>	[1..1]	CodeSet		1815
Or}	Proprietary <Prtry>	[1..1]	±		1816
	Reference <Ref>	[1..1]	Text		1816
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		1816
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C1	1816
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		1816
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C1	1817
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		1817
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		1817
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		1817
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		1817
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1818
	CappedLimits <CapdLmts>	[0..1]			1818
	StartDate <StartDt>	[0..1]	Date		1818
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C1	1818
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C1	1819
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C1	1819
	AdditionalInformation <AddtlInf>	[0..*]	±		1819
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		1820
	AdditionalInformation <AddtlInf>	[0..*]	±		1820

**Constraints**

- **BeneficiaryDetailsRule**

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

/RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

/BeneficiaryDetails Must be absent

**34.4.4.22 OtherDrawdownInformation <OthrDrwdwnInf>**

*Presence:* [0..1]

*Definition:* Drawdown information not specifically associated with a drawdown tranche.

**OtherDrawdownInformation <OthrDrwdwnInf>** contains the following **Drawdown3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EmploymentDetails</b> <MplymntDtls>	[0..1]			506
	<b>TaxCode</b> <TaxCd>	[0..1]	±		507
	<b>OtherTaxCodeIndicator</b> <OthrTaxCdInd>	[0..1]	Indicator		507
	<b>CumulativeTaxIndicator</b> <CmltvTaxInd>	[0..1]	Indicator		507
	<b>PreviousPay</b> <PrvsPay>	[0..1]	Amount	C1, C10	508
	<b>PreviousTax</b> <PrvsTax>	[0..1]	Amount	C1, C10	508
	<b>StartDate</b> <StartDt>	[0..1]	±		508
	<b>EndDate</b> <EndDt>	[0..1]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509

**34.4.4.22.1 EmploymentDetails <MplymntDtls>**

*Presence:* [0..1]

*Definition:* Previous employment information.

**EmploymentDetails <MplymntDtIs>** contains the following **EmploymentDetails1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxCode</b> <TaxCd>	[0..1]	±		507
	<b>OtherTaxCodeIndicator</b> <OthrTaxCdInd>	[0..1]	Indicator		507
	<b>CumulativeTaxIndicator</b> <CmltvTaxInd>	[0..1]	Indicator		507
	<b>PreviousPay</b> <PrvsPay>	[0..1]	Amount	C1, C10	508
	<b>PreviousTax</b> <PrvsTax>	[0..1]	Amount	C1, C10	508
	<b>StartDate</b> <StartDt>	[0..1]	±		508
	<b>EndDate</b> <EndDt>	[0..1]	±		509
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		509

#### 34.4.4.22.1.1 TaxCode <TaxCd>

*Presence:* [0..1]

*Definition:* Current tax code.

**TaxCode <TaxCd>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 34.4.4.22.1.2 OtherTaxCodeIndicator <OthrTaxCdInd>

*Presence:* [0..1]

*Definition:* Indicates whether or not another tax code exists.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 34.4.4.22.1.3 CumulativeTaxIndicator <CmltvTaxInd>

*Presence:* [0..1]

*Definition:* Indicates whether tax is cumulative or non-cumulative. In the UK, this is known as the W1M1 indicator.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**34.4.4.22.1.4 PreviousPay <PrvsPay>***Presence:* [0..1]*Definition:* Amount of the previous pay.*Impacted by:* C1 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**34.4.4.22.1.5 PreviousTax <PrvsTax>***Presence:* [0..1]*Definition:* Amount of the previous tax.*Impacted by:* C1 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**34.4.4.22.1.6 StartDate <StartDt>***Presence:* [0..1]*Definition:* Start date of the employment period.

**StartDate <StartDt>** contains one of the following elements (see "DateFormat42Choice" on page 1443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1443
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1444



**34.4.4.22.1.7 EndDate <EndDt>***Presence:* [0..1]*Definition:* End date of the employment period.**EndDate <EndDt>** contains one of the following elements (see ["DateFormat42Choice"](#) on page 1443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1443
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1444

**34.4.4.22.1.8 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the employment.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**34.4.4.22.2 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the drawdown.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**34.4.4.23 QueryResponse <QryRspn>***Presence:* [0..\*]*Definition:* Response information.*Datatype:* ["Max350Text"](#) on page 2837**34.4.4.24 StatusInitiator <StsInitr>***Presence:* [0..1]*Definition:* Party that initiates the status.

**StatusInitiator <StsIntr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 34.4.4.25 StatusIssuer <StsIssr>

*Presence:* [0..1]

*Definition:* Party that issues the status or information message.

**StatusIssuer <StsIssr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 34.4.4.26 StatusRecipient <StsRcpt>

*Presence:* [0..1]

*Definition:* Party that receives the status or information message.

**StatusRecipient <StsRcpt>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 34.4.4.27 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the status.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 34.4.5 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 34.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C12 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 35 sese.012.001.11 PortfolioTransferInstructionV11

## 35.1 MessageDefinition Functionality

### Scope

The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

### Usage

The PortfolioTransferInstruction message is used to instruct one or more portfolio transfers for one client. Each portfolio transfer is for delivery to the same account. The account may be owned by one or more individual investors or one or more corporate investors.

If the instructing party does not have enough information to instruct the portfolio transfer, then it must first send an AccountHoldingInformationRequest message to the executing party in order to receive an AccountHoldingInformation message.

### Outline

The PortfolioTransferInstructionV11 MessageDefinition is composed of 16 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

F. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

G. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

H. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

I. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

J. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

K. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

L. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

M. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

N. ProductTransfer

Information about the portfolio and assets.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

## 35.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrftlTrfInstr>	[1..1]		C14, C15, C26, C27, C28	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		520
	<b>PoolReference</b> <PoolRef>	[0..1]	±		521
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		521
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		521
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C37	522
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C37	522
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C37	523
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		524
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		524
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		525
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		525
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		526
	<b>Transferee</b> <Trfee>	[1..1]	±		526
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			526
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		529
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		530
	<b>TransferConfirmationIdentification</b> <TrfConfld>	[0..1]	Text		530
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		530
	<b>Portfolio</b> <Prftl>	[0..1]			530
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		531
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		532
Or}	<b>Pension</b> <Pnsn>	[1..1]			532
	<b>Identification</b> <Id>	[0..1]			533
	<b>Identifier</b> <Idr>	[1..1]	Text		533
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		533
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		533
	<b>Type</b> <Tp>	[0..1]			534

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		534
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		535
	<b>TransferScope</b> <TrfScp>	[0..1]	±		535
	<b>TaxReference</b> <TaxRef>	[0..*]	±		536
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		536
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		536
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		536
	<b>AllOtherCash</b> <AllOthrCsh>	[0..*]	±		537
	<b>CashAll</b> <CshAll>	[0..*]	±		537
	<b>ResidualCash</b> <RsdnCsh>	[0..*]	±		537
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		537
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C9, C12, C13, C30	539
	<b>LineIdentification</b> <LineId>	[0..1]	Text		541
	<b>Instrument</b> <Instrm>	[1..1]			541
{Or	<b>Security</b> <Scty>	[1..1]	±	C24	542
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C22	542
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		543
	<b>Quantity</b> <Qty>	[0..1]	±		543
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		543
	<b>TransferType</b> <TrfTp>	[1..1]	±	C35	544
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		544
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		544
	<b>Conversion</b> <Convs>	[0..1]	±		544
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		545
	<b>ClientReference</b> <ClntRef>	[0..1]	±		546
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		546
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		546
	<b>AverageAcquisitionPrice</b> <AvgAcqstnPric>	[0..1]	Amount	C2, C17	546
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	547
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		547

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		547
	<b>Transferor</b> <Trfr>	[0..1]	±		548
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		548
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		549
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		549
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		549
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		549
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		551
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		552
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		552
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		553
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsultsInChngOfBnfcIOwnr>	[0..1]	Indicator		553
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		553
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		554
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		554
	<b>Extension</b> <Xtnsn>	[0..*]	±	C21	554

## 35.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.



**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 AssetLiquidatedCurrencyGuideline**

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

**C8 AssetQuantity1Guideline**

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

**C9 AssetQuantity2Guideline**

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

**C10 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.

**C11 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

**C13 Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

**C14 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C15 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C16 Country**

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

**C17 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C18 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C19 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C20 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C21 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C22 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C23 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C24 IdentificationGuideline**

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

**C25 IdentificationGuideline**

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

**C26 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C27 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C28 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C29 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C30 PartialInstructedQuantityRule**

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0' (No), then Quantity maybe present.

**C31 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C32 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C33 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C34 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C35 SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**C36 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C37 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C38 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C39 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C40 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 35.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 35.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 35.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

## 35.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 35.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

## 35.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C37 "SocialSecurityNumberGuideline"](#)

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see ["IndividualPerson8"](#) on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScItyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.6 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C37 "SocialSecurityNumberGuideline"](#)

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.7 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C37 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.8 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

## 35.4.9 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.



**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 35.4.10 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 35.4.11 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 35.4.12 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 35.4.13 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

### 35.4.14 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		529
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		530
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[0..1]	Text		530
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		530
	<b>Portfolio</b> <Prtf>	[0..1]			530
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		531
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		532
Or}	<b>Pension</b> <Pnsn>	[1..1]			532
	<b>Identification</b> <Id>	[0..1]			533
	<b>Identifier</b> <Idr>	[1..1]	Text		533
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		533
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		533
	<b>Type</b> <Tp>	[0..1]			534
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		534
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		535
	<b>TransferScope</b> <TrfScp>	[0..1]	±		535
	<b>TaxReference</b> <TaxRef>	[0..*]	±		536
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		536
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		536
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		536
	<b>AllOtherCash</b> <AlLOthrCsh>	[0..*]	±		537
	<b>CashAll</b> <CshAll>	[0..*]	±		537
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		537
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		537
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C9, C12, C13, C30	539
	<b>LineIdentification</b> <LineId>	[0..1]	Text		541
	<b>Instrument</b> <Instrm>	[1..1]			541
{Or	<b>Security</b> <Scty>	[1..1]	±	C24	542
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C22	542

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		543
	<b>Quantity</b> <Qty>	[0..1]	±		543
	<b>PartialInstructedQuantity</b> <PrtlInstdQty>	[0..1]	Indicator		543
	<b>TransferType</b> <TrfTp>	[1..1]	±	C35	544
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		544
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		544
	<b>Conversion</b> <Convs>	[0..1]	±		544
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		545
	<b>ClientReference</b> <ClntRef>	[0..1]	±		546
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		546
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		546
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C2, C17	546
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	547
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		547
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		547
	<b>Transferor</b> <Trfr>	[0..1]	±		548
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		548
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		549
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		549
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		549
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		549
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		551
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		552
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		552
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		553
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsultsInChngOfBnfclOwnr>	[0..1]	Indicator		553
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		553
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		554

### 35.4.14.1 MasterReference <MstrRef>

Presence: [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

#### **35.4.14.2 TransferIdentification <Trfld>**

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2837

#### **35.4.14.3 TransferConfirmationIdentification <TrfConfld>**

*Presence:* [0..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2837

#### **35.4.14.4 RequestedTransferDate <ReqdTrfDt>**

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer of the portfolio as a whole.

*Datatype:* "ISODate" on page 2822

#### **35.4.14.5 Portfolio <Prftl>**

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prtf>** contains one of the following **FundPortfolio8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		531
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		532
Or}	<b>Pension</b> <Pnsn>	[1..1]			532
	<b>Identification</b> <Id>	[0..1]			533
	<b>Identifier</b> <Idr>	[1..1]	Text		533
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		533
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		533
	<b>Type</b> <Tp>	[0..1]			534
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		534
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		535
	<b>TransferScope</b> <TrfScp>	[0..1]	±		535
	<b>TaxReference</b> <TaxRef>	[0..*]	±		536
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		536
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		536
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		536

#### 35.4.14.5.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct <TaxEffcntPdct>** contains the following elements (see "TaxEfficientProduct6" on page 1489 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1490
	CurrentYear <CurYr>	[0..1]	Indicator		1490
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1490
	PreviousYears <PrvsYrs>	[0..1]		C36	1491
	PreviousYears <PrvsYrs>	[1..1]			1491
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1491
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1491
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1492
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	1492
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1492
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	1492
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	1493
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	1493
	AdditionalInformation <AddtlInf>	[0..*]	±		1493

#### 35.4.14.5.2 GeneralInvestment <GnlInvstmt>

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <GnlInvstmt>** contains the following elements (see "GeneralInvestment2" on page 1503 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

#### 35.4.14.5.3 Pension <Pnsn>

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.



**Pension <Pnsn>** contains the following **Pension6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[0..1]			533
	<b>Identifier &lt;Idr&gt;</b>	[1..1]	Text		533
	<b>SubIdentifier &lt;Subldr&gt;</b>	[0..1]	Text		533
	<b>AdditionalInformation &lt;AddtlInf&gt;</b>	[0..1]	±		533
	<b>Type &lt;Tp&gt;</b>	[0..1]			534
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		534
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		535
	<b>TransferScope &lt;TrfScp&gt;</b>	[0..1]	±		535
	<b>TaxReference &lt;TaxRef&gt;</b>	[0..*]	±		536
	<b>DrawdownTrancheIdentification &lt;DrwdwnTrchld&gt;</b>	[0..1]	Text		536
	<b>NonWrapperTransfer &lt;NonWrpprTrf&gt;</b>	[0..1]	Indicator		536
	<b>AdditionalInformation &lt;AddtlInf&gt;</b>	[0..*]	±		536

#### 35.4.14.5.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identifier &lt;Idr&gt;</b>	[1..1]	Text		533
	<b>SubIdentifier &lt;Subldr&gt;</b>	[0..1]	Text		533
	<b>AdditionalInformation &lt;AddtlInf&gt;</b>	[0..1]	±		533

##### 35.4.14.5.3.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2837

##### 35.4.14.5.3.1.2 SubIdentifier <Subldr>

*Presence:* [0..1]

*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.

*Datatype:* "Max35Text" on page 2837

##### 35.4.14.5.3.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the identification of the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 35.4.14.5.3.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		534
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		535

#### 35.4.14.5.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionSchemeType3Code" on page 2774

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory

CodeName	Name	Definition
		Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

#### 35.4.14.5.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 35.4.14.5.3.3 TransferScope <TrfScp>

*Presence:* [0..1]

*Definition:* Scope of the pension policy, plan or scheme transfer.

**TransferScope <TrfScp>** contains one of the following elements (see "[PensionTransferScope1Choice](#)" on page 1858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

**35.4.14.5.3.4 TaxReference <TaxRef>**

*Presence:* [0..\*]

*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "[TaxReference1](#)" on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

**35.4.14.5.3.5 DrawdownTrancheIdentification <DrwdwnTrchld>**

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "[Max35Text](#)" on page 2837

**35.4.14.5.3.6 NonWrapperTransfer <NonWrpprTrf>**

*Presence:* [0..1]

*Definition:* Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**35.4.14.5.3.7 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**35.4.14.6 AllOtherCash <AllOthrCsh>***Presence:* [0..\*]*Definition:* Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.**AllOtherCash <AllOthrCsh>** contains the following elements (see "[AllOtherCash1](#)" on page 1918 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1918
	Currency <Ccy>	[0..1]	CodeSet	C1	1919

**35.4.14.7 CashAll <CshAll>***Presence:* [0..\*]*Definition:* Specifies whether all assets in the portfolio are to be liquidated and transferred as cash.**CashAll <CshAll>** contains the following elements (see "[CashAll1](#)" on page 1924 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1924
	Currency <Ccy>	[0..1]	CodeSet	C1	1924

**35.4.14.8 ResidualCash <RsdICsh>***Presence:* [0..\*]*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with.**ResidualCash <RsdICsh>** contains the following elements (see "[ResidualCash2](#)" on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1906
	Currency <Ccy>	[0..1]	CodeSet	C1	1907

**35.4.14.9 PaymentDetails <PmtDtls>***Presence:* [0..1]*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2147
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2147
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

#### 35.4.14.10 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* C7 "AssetLiquidatedCurrencyGuideline", C8 "AssetQuantity1Guideline", C9 "AssetQuantity2Guideline", C12 "Conversion1Rule", C13 "Conversion2Rule", C30 "PartialInstructedQuantityRule"

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following **FinancialInstrument102** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LineIdentification</b> <LineId>	[0..1]	Text		541
	<b>Instrument</b> <Instrm>	[1..1]			541
{Or	<b>Security</b> <Scty>	[1..1]	±	C24	542
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C22	542
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		543
	<b>Quantity</b> <Qty>	[0..1]	±		543
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		543
	<b>TransferType</b> <TrfTp>	[1..1]	±	C35	544
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		544
	<b>NotAvailable</b> <NotAvbl>	[0..1]	Indicator		544
	<b>Conversion</b> <Convs>	[0..1]	±		544
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		545
	<b>ClientReference</b> <ClntRef>	[0..1]	±		546
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		546
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		546
	<b>AverageAcquisitionPrice</b> <AvgAcqstnPric>	[0..1]	Amount	C2, C17	546
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	547
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		547
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		547
	<b>Transferor</b> <Trfr>	[0..1]	±		548
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		548
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		549
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		549
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		549
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		549
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		551
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		552
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		552
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		553
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsultsInChngOfBnfclOwnr>	[0..1]	Indicator		553



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		553

**Constraints**

- **AssetLiquidatedCurrencyGuideline**

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

- **AssetQuantity1Guideline**

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **PartialInstructedQuantityRule**

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0' (No), then Quantity maybe present.

On Condition

/PartialInstructedQuantity is equal to value 'true'

Or /PartialInstructedQuantity is equal to value '1'

Following Must be True

/Quantity Must be present

**35.4.14.10.1 LinelIdentification <Linel>**

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2837

**35.4.14.10.2 Instrument <Instrm>**

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C24	542
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C22	542
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		543

#### 35.4.14.10.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* [C24 "IdentificationGuideline"](#)

**Security <Scty>** contains the following elements (see ["FinancialInstrumentIdentification2"](#) on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

#### Constraints

- **IdentificationGuideline**

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

#### 35.4.14.10.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

*Impacted by:* [C22 "HoldingTransferCurrencyGuideline"](#)

**CashAsset <CshAsst>** contains the following elements (see ["CashAsset3"](#) on page 1530 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

**Constraints**

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**35.4.14.10.2.3 OtherAsset <OthrAsst>**

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrlId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

**35.4.14.10.3 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Quantity of asset to be transferred.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2383 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2383
	PercentageRate <PctgRate>	[0..1]	Rate		2383
	FaceAmount <FaceAmt>	[0..1]	Amount		2383
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2384
	CashAmount <CshAmt>	[0..1]	Amount	C1	2384
	OtherAsset <OthrAsst>	[0..1]	Text		2384

**35.4.14.10.4 PartialInstructedQuantity <PrtlInstQty>**

*Presence:* [0..1]

*Definition:* Indicates that the quantity of asset to be transferred is a partially instructed quantity.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 35.4.14.10.5 TransferType <TrfTp>

*Presence:* [1..1]

*Definition:* Specifies how the financial instrument is transferred.

*Impacted by:* [C35 "SECUGuideline"](#)

**TransferType <TrfTp>** contains one of the following elements (see ["TransferType2Choice"](#) on page 2691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2692
Or}	Proprietary <Prtry>	[1..1]	±		2692

#### Constraints

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### 35.4.14.10.6 AdditionalAsset <AddtlAsst>

*Presence:* [0..1]

*Definition:* Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 35.4.14.10.7 NotAvailable <NotAvlbl>

*Presence:* [0..1]

*Definition:* Indicates the asset is no longer available at the transferor party (ceding party).

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 35.4.14.10.8 Conversion <Convs>

*Presence:* [0..1]

*Definition:* Security is to be converted into another security before transfer.

**Conversion <Convs>** contains the following elements (see "Conversion1" on page 1822 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1822
	Identification <Id>	[1..1]	±		1822
	Name <Nm>	[0..1]	Text		1823
	ShortName <ShrtNm>	[0..1]	Text		1823
	AdditionalInformation <AddtlInf>	[0..*]	±		1823

### 35.4.14.10.9 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdrDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

**35.4.14.10.10 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.**ClientReference <CIntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**35.4.14.10.11 CounterpartyReference <CtrPtyRef>***Presence:* [0..1]*Definition:* Unambiguous identification of the transfer allocated by the counterparty.**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**35.4.14.10.12 BusinessFlowType <BizFlowTp>***Presence:* [0..1]*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).*Datatype:* "[BusinessFlowType1Code](#)" on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**35.4.14.10.13 AverageAcquisitionPrice <AvrgAcqstnPric>***Presence:* [0..1]*Definition:* Average cost per share of the security, including all fees.*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C17 "CurrencyAmount"](#)

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 35.4.14.10.14 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 35.4.14.10.15 TotalBookValue <TtlBookVal>

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 35.4.14.10.16 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

#### 35.4.14.10.17 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

#### 35.4.14.10.18 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.



**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 35.4.14.10.19 RequestedTransferDate <ReqdTrfDt>

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer.

*Datatype:* "ISODate" on page 2822

#### 35.4.14.10.20 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

#### 35.4.14.10.21 RequestedSettlementDate <ReqdSttlmDt>

*Presence:* [0..1]

*Definition:* Date at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

#### 35.4.14.10.22 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2147
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2147
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

#### 35.4.14.10.23 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1804 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1804
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1804
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1804
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C1	1804
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C1	1805
	AdditionalInformation <AddtlInf>	[0..*]	±		1805

#### 35.4.14.10.24 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1441
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441
	AdditionalInformation <AddtlInf>	[0..*]	±		1441

#### 35.4.14.10.25 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2678 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2678
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2678
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2679
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2679
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2679
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2681

#### 35.4.14.10.26 AssetsHeldInOwnName <AsstsHeldInOwnNm>

*Presence:* [0..1]

*Definition:* Indicates whether the assets are held in an individual's own name.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 35.4.14.10.27 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 35.4.14.10.28 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 35.4.14.11 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 35.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

#### 35.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C21 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 36 sese.013.001.11 PortfolioTransferConfirmationV11

## 36.1 MessageDefinition Functionality

### Scope

The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

### Usage

The PortfolioTransferConfirmation message is used to confirm one or more portfolio transfers for one client.

The reference of each portfolio transfer confirmation is identified in TransferConfirmationIdentification. The reference of the original portfolio transfer as assigned by the instructing party is specified in TransferInstructionReference. The message identification of the PortfolioTransferInstruction message in which the portfolio transfers were conveyed may also be quoted in RelatedReference but this is not recommended.

### Outline

The PortfolioTransferConfirmationV11 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

F. RegisteredHolder

Official registered holder information.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor



Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

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

## 36.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfConf>	[1..1]		C15, C16, C28, C29, C30	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		568
	<b>PoolReference</b> <PoolRef>	[0..1]	±		568
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		568
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		569
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C42	569
	<b>RegisteredHolder</b> <RegdHldr>	[0..1]	±	C42	570
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C42	570
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C42	571
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		572
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		572
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		573
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		573
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		574
	<b>Transferee</b> <Trfee>	[1..1]	±		574
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			574
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		580
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		580
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[1..1]	Text		580
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		581
	<b>Portfolio</b> <Prtl>	[0..1]			581
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			585
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		587
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		587
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		588
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	588
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			588
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		588

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>SpecificPreviousYears</b> <SpcfcPrvsYrs>	[1..*]	Year		589
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		589
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	589
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	589
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		589
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	590
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		590
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	590
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	590
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	591
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			591
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			592
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	592
	<b>Reason</b> <Rsn>	[0..1]			593
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	593
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		594
	<b>Reference</b> <Ref>	[0..1]	Text		594
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		594
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		594
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		594
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	595
	<b>OtherAmount</b> <OthrAmt>	[0..*]			595
	<b>Type</b> <Tp>	[1..1]	±		595
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	595
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		596
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			596
	<b>Type</b> <Tp>	[0..1]			596

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597
	<b>Reference</b> <Ref>	[1..1]	Text		597
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		597
	<b>InnovativeFinance</b> <InnvtvFinc>	[0..*]			597
	<b>Type</b> <Tp>	[1..1]	±		598
	<b>Information</b> <Inf>	[1..1]	Text		598
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	598
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	598
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	599
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	599
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		599
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		600
Or	<b>GeneralInvestment</b> <GnllInvstmt>	[1..1]	±		600
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	600
	<b>Identification</b> <Id>	[0..1]			603
	<b>Identifier</b> <Idr>	[1..1]	Text		604
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		604
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		604
	<b>Type</b> <Tp>	[1..1]			604
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		604
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		605
	<b>TransferScope</b> <TrfScp>	[0..1]	±		606
	<b>TaxReference</b> <TaxRef>	[0..*]	±		606
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		606
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		606
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		607
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		607

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		607
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		607
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		608
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrtcn>	[0..1]	Indicator		608
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		608
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		608
	<b>RetirementAgeProtection</b> <RtrmntAgePrtcn>	[0..1]	Indicator		608
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		609
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		609
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		609
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		609
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		609
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		610
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		610
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		610
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		610
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrtcn>	[0..1]	Indicator		610
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		611
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		611
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		611
	<b>AllOtherCash</b> <AllOthrCsh>	[0..*]	±		611
	<b>CashAll</b> <CshAll>	[0..*]	±		612
	<b>ResidualCash</b> <RsdlCsh>	[0..*]	±		612
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		612
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		612
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	614
	<b>LineIdentification</b> <LineId>	[0..1]	Text		616
	<b>Instrument</b> <Instrm>	[1..1]			616
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	617

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	617
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		618
	<b>Quantity</b> <Qty>	[0..1]	±		618
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		618
	<b>OriginalPercentageInstructed</b> <OrgnlPctgInstd>	[0..1]	Rate		619
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	619
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		619
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		619
	<b>Conversion</b> <Convs>	[0..1]	±		620
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		620
	<b>ClientReference</b> <ClntRef>	[0..1]	±		621
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		622
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		622
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C1, C18	622
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	623
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		623
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	623
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		623
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		624
	<b>Transferor</b> <Trfr>	[0..1]	±		624
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		625
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		625
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		625
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		625
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		625
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		626
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		628
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		629
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		629
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		630
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		630

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		630
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		631
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		631
	<b>Extension</b> <Xtnsn>	[0..*]	±	C23	631

## 36.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C4 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C5 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.

### C6 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C7 AssetQuantity1Guideline

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

### C8 AssetQuantity2Guideline

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

**C9 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.

**C10 BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

**C11 BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

**C12 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C13 Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

**C14 Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

**C15 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C16 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C17 Country**

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



**C18 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C19 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C20 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C21 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C22 EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

**C23 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C24 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C25 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C26 IdentificationGuideline**

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

**C27 IdentificationGuideline**

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

**C28 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C29 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C30 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C31 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C32 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C33 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C34 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C35 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C36 PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

**C37 RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

**C38 RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

**C39 RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

**C40 SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**C41 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C42 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C43 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C44 TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

**C45 TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

**C46 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C47 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C48 TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

## 36.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 36.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 36.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 36.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 36.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 36.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <Sc/SctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.6 RegisteredHolder <RegdHldr>

*Presence:* [0..1]

*Definition:* Official registered holder information.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**RegisteredHolder <RegdHldr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

## 36.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.



**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 36.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 36.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 36.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 36.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

### 36.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		580
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		580
	<b>TransferConfirmationIdentification</b> <TrfConflId>	[1..1]	Text		580
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		581
	<b>Portfolio</b> <Prttl>	[0..1]			581
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			585
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		587
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		587
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		588
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	588
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			588
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		588
Or}	<b>SpecificPreviousYears</b> <SpcfcPrvsYrs>	[1..*]	Year		589
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		589
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	589
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	589
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		589
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	590
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		590
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	590
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	590
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	591
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			591
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			592
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	592
	<b>Reason</b> <Rsn>	[0..1]			593
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	593
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		594
	<b>Reference</b> <Ref>	[0..1]	Text		594
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		594
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		594
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		594
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	595
	<b>OtherAmount</b> <OthrAmt>	[0..*]			595
	<b>Type</b> <Tp>	[1..1]	±		595
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	595
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		596
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			596
	<b>Type</b> <Tp>	[0..1]			596
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597
	<b>Reference</b> <Ref>	[1..1]	Text		597
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		597
	<b>InnovativeFinance</b> <Innvtfnc>	[0..*]			597
	<b>Type</b> <Tp>	[1..1]	±		598
	<b>Information</b> <Inf>	[1..1]	Text		598
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	598
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	598
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	599
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	599
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		599
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		600
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		600
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44,	600

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
				C45, C48	
	<b>Identification</b> <Id>	[0..1]			603
	<b>Identifier</b> <Idr>	[1..1]	Text		604
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		604
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		604
	<b>Type</b> <Tp>	[1..1]			604
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		604
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		605
	<b>TransferScope</b> <TrfScp>	[0..1]	±		606
	<b>TaxReference</b> <TaxRef>	[0..*]	±		606
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		606
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		606
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		607
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		607
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		607
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		607
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		608
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		608
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		608
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		608
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		608
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		609
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		609
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		609
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		609
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		609
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		610
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		610
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		610

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		610
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrtcn>	[0..1]	Indicator		610
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		611
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		611
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		611
	<b>AllOtherCash</b> <AllothrCsh>	[0..*]	±		611
	<b>CashAll</b> <CshAll>	[0..*]	±		612
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		612
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		612
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		612
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	614
	<b>LineIdentification</b> <LineId>	[0..1]	Text		616
	<b>Instrument</b> <Instrm>	[1..1]			616
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	617
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	617
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		618
	<b>Quantity</b> <Qty>	[0..1]	±		618
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		618
	<b>OriginalPercentageInstructed</b> <OrgnlPctgInst>	[0..1]	Rate		619
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	619
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		619
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		619
	<b>Conversion</b> <Convs>	[0..1]	±		620
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		620
	<b>ClientReference</b> <ClntRef>	[0..1]	±		621
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		622
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		622
	<b>AverageAcquisitionPrice</b> <AvgAcqstnPric>	[0..1]	Amount	C1, C18	622
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	623

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		623
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	623
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		623
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		624
	<b>Transferor</b> <Trfr>	[0..1]	±		624
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		625
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		625
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		625
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		625
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		625
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		626
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		628
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		629
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		629
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		630
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltInChngOfBnfclOwnr>	[0..1]	Indicator		630
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		630
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		631

### 36.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 36.4.15.2 TransferInstructionReference <TrfInstrRef>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2837

### 36.4.15.3 TransferConfirmationIdentification <TrfConflId>

*Presence:* [1..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2837



**36.4.15.4 ActualTransferDate <ActlTrfDt>**

*Presence:* [0..1]

*Definition:* Date the portfolio transfer instruction was executed.

*Datatype:* "ISODate" on page 2822

**36.4.15.5 Portfolio <Prftl>**

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prftl>** contains one of the following **FundPortfolio7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			585
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		587
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		587
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		588
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	588
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			588
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		588
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		589
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		589
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	589
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	589
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		589
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	590
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		590
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	590
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	590
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	591
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			591
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			592
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	592
	<b>Reason</b> <Rsn>	[0..1]			593
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	593
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		594
	<b>Reference</b> <Ref>	[0..1]	Text		594
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		594

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		594
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		594
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	595
	<b>OtherAmount</b> <OthrAmt>	[0..*]			595
	<b>Type</b> <Tp>	[1..1]	±		595
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	595
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		596
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			596
	<b>Type</b> <Tp>	[0..1]			596
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597
	<b>Reference</b> <Ref>	[1..1]	Text		597
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		597
	<b>InnovativeFinance</b> <InnvstvFinc>	[0..*]			597
	<b>Type</b> <Tp>	[1..1]	±		598
	<b>Information</b> <Inf>	[1..1]	Text		598
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	598
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	598
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	599
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	599
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		599
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		600
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		600
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	600
	<b>Identification</b> <Id>	[0..1]			603
	<b>Identifier</b> <Idr>	[1..1]	Text		604
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		604

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		604
	<b>Type</b> <Tp>	[1..1]			604
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		604
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		605
	<b>TransferScope</b> <TrfScp>	[0..1]	±		606
	<b>TaxReference</b> <TaxRef>	[0..*]	±		606
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		606
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		606
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		607
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		607
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		607
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		607
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		608
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		608
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		608
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		608
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		608
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		609
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		609
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		609
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		609
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		609
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		610
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		610
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		610
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrctn>	[0..1]	Indicator		610
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrctn>	[0..1]	Indicator		610
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		611
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		611

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		611

#### 36.4.15.5.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct** <TaxEffcntPdct> contains the following **TaxEfficientProduct7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		587
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		587
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		588
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	588
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			588
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		588
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		589
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		589
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	589
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	589
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		589
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	590
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		590
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	590
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	590
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	591
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			591
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			592
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	592
	<b>Reason</b> <Rsn>	[0..1]			593
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	593
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		594
	<b>Reference</b> <Ref>	[0..1]	Text		594
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		594
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		594
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		594

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalSubscriptionAmount</b> <TtSbcptAmt>	[0..1]	Amount	C1, C18	595
	<b>OtherAmount</b> <OthrAmt>	[0..*]			595
	<b>Type</b> <Tp>	[1..1]	±		595
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	595
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		596
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			596
	<b>Type</b> <Tp>	[0..1]			596
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597
	<b>Reference</b> <Ref>	[1..1]	Text		597
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		597
	<b>InnovativeFinance</b> <Innvtfnc>	[0..*]			597
	<b>Type</b> <Tp>	[1..1]	±		598
	<b>Information</b> <Inf>	[1..1]	Text		598
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	598
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	598
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	599
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	599
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		599
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		600

#### 36.4.15.5.1.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1497 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		1497
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		1498

#### 36.4.15.5.1.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are included.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 36.4.15.5.1.3 CashComponentIndicator <CshCmpntInd>

*Presence:* [0..1]

*Definition:* Indicates whether, for the current year, the product contains a cash asset for transfer.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 36.4.15.5.1.4 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* [C43 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PreviousYears &lt;PrvsYrs&gt;</b>	[1..1]			588
{Or	<b>AllPreviousYears &lt;AllPrvsYrs&gt;</b>	[1..1]	Text		588
Or}	<b>SpecificPreviousYears &lt;SpfcPrvsYrs&gt;</b>	[1..*]	Year		589
	<b>CashComponentIndicator &lt;CshCmpntInd&gt;</b>	[0..1]	Indicator		589

#### Constraints

- **SpecificPreviousYearsGuideline**  
SpecificPreviousYears must not contain the current year.

#### 36.4.15.5.1.4.1 PreviousYears <PrvsYrs>

*Presence:* [1..1]

*Definition:* Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AllPreviousYears &lt;AllPrvsYrs&gt;</b>	[1..1]	Text		588
Or}	<b>SpecificPreviousYears &lt;SpfcPrvsYrs&gt;</b>	[1..*]	Year		589

#### 36.4.15.5.1.4.1.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.



*Datatype:* "PreviousAll" on page 2839

#### **36.4.15.5.1.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>**

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2839

#### **36.4.15.5.1.4.2 CashComponentIndicator <CshCmpntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **36.4.15.5.1.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>**

*Presence:* [0..1]

*Definition:* Subscriptions from the previous subscription year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **36.4.15.5.1.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in all previous years.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **36.4.15.5.1.7 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [0..1]

*Definition:* Date the investment plan started.

*Datatype:* "ISODate" on page 2822

#### 36.4.15.5.1.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

*Presence:* [0..1]

*Definition:* Amounts already subscribed for the current year.

*Impacted by:* C46 "TotalAmountYearToDateRule"

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		590
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	590
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	590
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	591

#### Constraints

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

##### 36.4.15.5.1.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>

*Presence:* [1..1]

*Definition:* Date of the first subscription in the current year.

*Datatype:* "ISODate" on page 2822

##### 36.4.15.5.1.8.2 EquityComponent <EqtyCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into equities (not including dividends).

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

##### 36.4.15.5.1.8.3 CashComponent <CshCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 36.4.15.5.1.8.4 TotalAmountYearToDate <TtlAmtYrToDt>

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 36.4.15.5.1.9 BonusOrWithdrawal <BnsOrWdrwl>

*Presence:* [0..\*]

*Definition:* Bonus paid out or withdrawn.

**BonusOrWithdrawal <BnsOrWdrwl>** contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			592
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	592
	<b>Reason</b> <Rsn>	[0..1]			593
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	593
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		594
	<b>Reference</b> <Ref>	[0..1]	Text		594
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		594

**36.4.15.5.1.9.1 TypeOfAmount <TpOfAmt>***Presence:* [1..1]*Definition:* Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.**TypeOfAmount <TpOfAmt>** contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		592
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		592

**36.4.15.5.1.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "TaxWrapperAmountType1Code" on page 2811

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

**36.4.15.5.1.9.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**36.4.15.5.1.9.2 Amount <Amt>***Presence:* [0..1]*Definition:* Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.*Impacted by:* C2 "ActiveOrHistoricCurrency"*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**36.4.15.5.1.9.3 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the bonus amount paid to or an amount withdrawn from the investment product.

**Reason <Rsn>** contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		593
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		593

**36.4.15.5.1.9.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a code.

*Datatype:* "PortfolioWithdrawalReason1Code" on page 2777

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

**36.4.15.5.1.9.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**36.4.15.5.1.9.4 UnclaimedAmount <UclmdAmt>**

*Presence:* [0..1]

*Definition:* Amount of an unclaimed bonus or an unclaimed withdrawal.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**36.4.15.5.1.9.5 Outstanding <Outsdng>**

*Presence:* [0..1]

*Definition:* Indicates whether there is an outstanding bonus or withdrawal amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**36.4.15.5.1.9.6 Reference <Ref>**

*Presence:* [0..1]

*Definition:* Identification of the withdrawal or bonus.

*Datatype:* ["Max35Text"](#) on page 2837

**36.4.15.5.1.9.7 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the monies paid out or withdrawn.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**36.4.15.5.1.10 WithdrawalForResidentialPurchaseProgress <WdrwlForResdntlPurchsPrgrs>**

*Presence:* [0..1]

*Definition:* Indicates if there is a related property purchase in progress at the point of transfer. May be applicable to products such as Lifetime Individual Savings Account (LISA) products.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**36.4.15.5.1.11 TransferorAlternateIdentification <TrfrAltrnld>**

*Presence:* [0..1]

*Definition:* Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

*Datatype:* ["Max35Text"](#) on page 2837

**36.4.15.5.1.12 TotalSubscriptionAmount <TtlSbcptAmt>***Presence:* [0..1]*Definition:* Total amount subscribed over the lifetime of the product.*Impacted by:* C1 "ActiveCurrency", C18 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**36.4.15.5.1.13 OtherAmount <OthrAmt>***Presence:* [0..\*]*Definition:* Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.**OtherAmount <OthrAmt>** contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	±		595
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	595

**36.4.15.5.1.13.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of amount.**Type <Tp>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**36.4.15.5.1.13.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C1 "ActiveCurrency", C18 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 36.4.15.5.1.14 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

*Presence:* [0..1]

*Definition:* Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

*Datatype:* "ISODate" on page 2822

#### 36.4.15.5.1.15 InvestorTaxReference <InvstrTaxRef>

*Presence:* [0..1]

*Definition:* Identification of the investor as assigned by a tax authority.

**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[0..1]			596
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597
	<b>Reference</b> <Ref>	[1..1]	Text		597

#### 36.4.15.5.1.15.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		596
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		597

#### 36.4.15.5.1.15.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.



*Datatype:* "PersonIdentificationType7Code" on page 2775

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 36.4.15.5.1.15.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 36.4.15.5.1.15.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* "Max35Text" on page 2837

#### 36.4.15.5.1.16 InvestmentsToFollowValue <InvstmtsToFlwVal>

*Presence:* [0..\*]

*Definition:* Value of the investments to follow.

**InvestmentsToFollowValue <InvstmtsToFlwVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 36.4.15.5.1.17 InnovativeFinance <Innvtfnc>

*Presence:* [0..\*]

*Definition:* Information about an innovative finance product.

**InnovativeFinance** <Innvtfinc> contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	±		598
	<b>Information</b> <Inf>	[1..1]	Text		598

#### 36.4.15.5.1.17.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of innovative finance product.

**Type** <Tp> contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 36.4.15.5.1.17.2 Information <Inf>

*Presence:* [1..1]

*Definition:* Details of an innovative finance product.

*Datatype:* "[Max350Text](#)" on page 2837

#### 36.4.15.5.1.18 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

*Presence:* [0..1]

*Definition:* Lowest investment amount in the current year, used to calculate a tax deduction amount.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

##### 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.

#### 36.4.15.5.1.19 TaxCalculationBase <TaxClctnBase>

*Presence:* [0..1]

*Definition:* Amount of money from which the tax deduction is calculated.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

**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.

**36.4.15.5.1.20 UnusedTaxDeduction <UusdTaxDdctn>**

*Presence:* [0..1]

*Definition:* Unused tax deduction amount.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**36.4.15.5.1.21 CurrentInvestmentAmount <CurInvstmtAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**36.4.15.5.1.22 EstimatedValue <EstmtdVal>**

*Presence:* [0..1]

*Definition:* Estimated value of the assets of the tax efficient product to be transferred.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**36.4.15.5.1.23 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**36.4.15.5.2 GeneralInvestment <GnlInvstmt>**

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <GnlInvstmt>** contains the following elements (see ["GeneralInvestment2"](#) on page 1503 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

**36.4.15.5.3 Pension <Pnsn>**

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.

*Impacted by:* [C10 "BlockTransferRetirementAgeProtectionRule"](#), [C11 "BlockTransferTaxFreeCashProtectionRule"](#), [C36 "PensionOrderTypeGuideline"](#), [C37 "RetirementAgeRule"](#), [C38 "RingFencedDrawdownAssets1Rule"](#), [C39 "RingFencedDrawdownAssets2Rule"](#), [C44 "TaxFreeCashAmountRule"](#), [C45 "TaxFreeCashAndValueRule"](#), [C48 "TransferScopeTrancheIdentification1Rule"](#)

**Pension <Pnsn>** contains the following **Pension5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]			603
	<b>Identifier</b> <Idr>	[1..1]	Text		604
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		604
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		604
	<b>Type</b> <Tp>	[1..1]			604
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		604
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		605
	<b>TransferScope</b> <TrfScp>	[0..1]	±		606
	<b>TaxReference</b> <TaxRef>	[0..*]	±		606
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		606
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		606
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		607
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		607
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		607
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		607
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		608
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrtcn>	[0..1]	Indicator		608
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		608
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		608
	<b>RetirementAgeProtection</b> <RtrmntAgePrtcn>	[0..1]	Indicator		608
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		609
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		609
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		609
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		609
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		609
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		610
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		610
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		610
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		610

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientLifetimeAllowanceProtection</b> <ClnLftmAllwncPrctn>	[0..1]	Indicator		610
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		611
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		611
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		611

### Constraints

- **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/RetirementAgeProtection Must be absent

- **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/TaxFreeCashProtection Must be absent

- **PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

- **RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

On Condition

/RetirementAgeProtection is equal to value 'false'

Or /RetirementAgeProtection is equal to value '0'

Following Must be True

/RetirementAge Must be absent

- **RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

On Condition

/DrawdownStatus/Code is equal to value 'None'

Following Must be True  
 /RingFencedDrawdownAssets Must be absent

- **RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

On Condition  
 /DrawdownStatus/Code is equal to value 'Partial'  
 Or /DrawdownStatus/Code is equal to value 'Full'  
 Following Must be True  
 /RingFencedDrawdownAssets Must be present

- **TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'false'  
 Or /TaxFreeCashProtection is equal to value '0'  
 Following Must be True  
 /TaxFreeCashAmount Must be absent

- **TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'true'  
 Or /TaxFreeCashProtection is equal to value '1'  
 Following Must be True  
 /TaxFreeCashAmount Must be present  
 And /ValueOfPensionPolicyOrPlanOrScheme Must be present

- **TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition  
 /TransferScope/Code is different from value 'DrawdownTranche'  
 Following Must be True  
 /DrawdownTrancheIdentification Must be absent

### 36.4.15.5.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identifier</b> <Idr>	[1..1]	Text		604
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		604
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		604

#### 36.4.15.5.3.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2837

#### 36.4.15.5.3.1.2 SubIdentifier <SubIdr>

*Presence:* [0..1]

*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.

*Datatype:* "Max35Text" on page 2837

#### 36.4.15.5.3.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the identification of the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 36.4.15.5.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		604
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		605

#### 36.4.15.5.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionSchemeType3Code" on page 2774



CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

#### 36.4.15.5.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 36.4.15.5.3.3 TransferScope <TrfScp>

*Presence:* [0..1]

*Definition:* Scope of the pension policy, plan or scheme transfer.

**TransferScope <TrfScp>** contains one of the following elements (see "[PensionTransferScope1Choice](#)" on page 1858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

#### 36.4.15.5.3.4 TaxReference <TaxRef>

*Presence:* [0..\*]

*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "[TaxReference1](#)" on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 36.4.15.5.3.5 DrawdownTrancheIdentification <DrwdwnTrchId>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "[Max35Text](#)" on page 2837

#### 36.4.15.5.3.6 DrawdownStatus <DrwdwnSts>

*Presence:* [0..1]

*Definition:* Drawdown status of the pension.

**DrawdownStatus <DrwdwnSts>** contains one of the following elements (see "[DrawdownStatus1Choice](#)" on page 2498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2499

#### 36.4.15.5.3.7 DrawdownType <DrwdwnTp>

*Presence:* [0..1]

*Definition:* Type of drawdown tranche.

**DrawdownType <DrwdwnTp>** contains one of the following elements (see "[DrawdownType2Choice](#)" on page 1842 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1842
Or}	Proprietary <Prtry>	[1..1]	±		1842

#### 36.4.15.5.3.8 NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>

*Presence:* [0..1]

*Definition:* Number of drawdown tranches.

*Datatype:* "[Number](#)" on page 2834

#### 36.4.15.5.3.9 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the pension policy, plan or scheme.

**EstimatedValue <EstmtdVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 36.4.15.5.3.10 BlockTransfer <BlckTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer forms part of a block transfer.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**36.4.15.5.3.11 BlockTransferReference <BlckTrfRef>***Presence:* [0..1]*Definition:* When the transfer is part of a block transfer, reference to link several items.*Datatype:* "Max35Text" on page 2837**36.4.15.5.3.12 TaxFreeCashProtection <TaxFreeCshPrctn>***Presence:* [0..1]*Definition:* Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**36.4.15.5.3.13 TaxFreeCashAmount <TaxFreeCshAmt>***Presence:* [0..1]*Definition:* Amount of cash that is tax free.**TaxFreeCashAmount <TaxFreeCshAmt>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**36.4.15.5.3.14 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>***Presence:* [0..1]*Definition:* Value of the pension policy, plan or scheme.**ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**36.4.15.5.3.15 RetirementAgeProtection <RtrmntAgePrctn>***Presence:* [0..1]*Definition:* Indicates whether the pension policy, plan or scheme has retirement age protection.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**36.4.15.5.3.16 RetirementAge <RtrmntAge>***Presence:* [0..1]*Definition:* Age at which the pension policy, plan or scheme holder retires.*Datatype:* "DecimalNumber" on page 2834**36.4.15.5.3.17 Sharing <Shrg>***Presence:* [0..1]*Definition:* Indicates whether the pension benefits are shared.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**36.4.15.5.3.18 LumpSumType <LumpSumTp>***Presence:* [0..\*]*Definition:* Type of lump sum paid to a member of the pension policy, plan or scheme.**LumpSumType <LumpSumTp>** contains one of the following elements (see "LumpSumType1Choice" on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1828
Or}	Proprietary <Prtry>	[1..1]	±		1829

**36.4.15.5.3.19 PensionOrder <PnsnOrdr>***Presence:* [0..\*]*Definition:* Order attached to the pension policy, plan or scheme.**PensionOrder <PnsnOrdr>** contains the following elements (see "PensionOrder1" on page 1776 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	AdditionalInformation <AddtlInf>	[0..*]	±		1777

**36.4.15.5.3.20 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>***Presence:* [0..1]*Definition:* Indicates whether assets held within the pension are ring-fenced into specific tranches.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.5.3.21 MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>

*Presence:* [0..1]

*Definition:* Money Purchase Annual Allowance (MPAA) details.

**MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>** contains the following elements (see "[MoneyPurchaseAnnualAllowance1](#)" on page 1789 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1789
	TriggeredDate <TrggrdDt>	[0..1]	Date		1790

#### 36.4.15.5.3.22 SafeguardBenefit <SfgrdBnft>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.23 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.24 LifetimeAllowanceProtection <LftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.25 ClientLifetimeAllowanceProtection <CIntLftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the client has any lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.26 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

*Presence:* [0..1]

*Definition:* Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.27 NonWrapperTransfer <NonWrpprTrf>

*Presence:* [0..1]

*Definition:* Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 36.4.15.5.3.28 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 36.4.15.6 AllOtherCash <AllOthrCsh>

*Presence:* [0..\*]

*Definition:* Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

**AllOtherCash <AllOthrCsh>** contains the following elements (see "[AllOtherCash1](#)" on page 1918 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1918
	Currency <Ccy>	[0..1]	CodeSet	C1	1919

**36.4.15.7 CashAll <CshAll>***Presence:* [0..\*]*Definition:* Specifies whether all assets in the portfolio should be liquidated and transferred as cash.**CashAll <CshAll>** contains the following elements (see "[CashAll1](#)" on page 1924 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1924
	Currency <Ccy>	[0..1]	CodeSet	C1	1924

**36.4.15.8 ResidualCash <RsdICsh>***Presence:* [0..\*]*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with**ResidualCash <RsdICsh>** contains the following elements (see "[ResidualCash2](#)" on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1906
	Currency <Ccy>	[0..1]	CodeSet	C1	1907

**36.4.15.9 TaxDate <TaxDt>***Presence:* [0..1]*Definition:* Tax date applicable to all the assets.*Datatype:* "[ISODate](#)" on page 2822**36.4.15.10 PaymentDetails <PmtDtls>***Presence:* [0..1]*Definition:* Payment process for the transfer of cash from the debtor to the creditor.



**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2147
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2147
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

### 36.4.15.11 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* C7 "AssetQuantity1Guideline", C8 "AssetQuantity2Guideline", C13 "Conversion1Rule", C14 "Conversion2Rule", C22 "EffectiveDatesGuideline"

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following **FinancialInstrument100** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LineIdentification</b> <LineId>	[0..1]	Text		616
	<b>Instrument</b> <Instrm>	[1..1]			616
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	617
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	617
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		618
	<b>Quantity</b> <Qty>	[0..1]	±		618
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		618
	<b>OriginalPercentageInstructed</b> <OrgnlPctgInstd>	[0..1]	Rate		619
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	619
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		619
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		619
	<b>Conversion</b> <Convs>	[0..1]	±		620
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		620
	<b>ClientReference</b> <ClntRef>	[0..1]	±		621
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		622
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		622
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C1, C18	622
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	623
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		623
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	623
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		623
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		624
	<b>Transferor</b> <Trfr>	[0..1]	±		624
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		625
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		625
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		625
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		625
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		625
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		626
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		628

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		629
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		629
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		630
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		630
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		630

#### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

#### 36.4.15.11.1 LineIdentification <Lineld>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2837

#### 36.4.15.11.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	617
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	617
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		618

#### 36.4.15.11.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* [C26 "IdentificationGuideline"](#)

**Security <Scty>** contains the following elements (see ["FinancialInstrumentIdentification2"](#) on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

#### Constraints

- **IdentificationGuideline**

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

#### 36.4.15.11.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

*Impacted by:* [C24 "HoldingTransferCurrencyGuideline"](#)

**CashAsset <CshAsst>** contains the following elements (see ["CashAsset3"](#) on page 1530 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

**Constraints**

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**36.4.15.11.2.3 OtherAsset <OthrAsst>**

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrlId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

**36.4.15.11.3 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Quantity of asset transferred or to be transferred.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2383 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2383
	PercentageRate <PctgRate>	[0..1]	Rate		2383
	FaceAmount <FaceAmt>	[0..1]	Amount		2383
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2384
	CashAmount <CshAmt>	[0..1]	Amount	C1	2384
	OtherAsset <OthrAsst>	[0..1]	Text		2384

**36.4.15.11.4 PartialInstructedQuantity <PrtlInstQty>**

*Presence:* [0..1]

*Definition:* Indicates that the quantity of asset to be transferred is a partially instructed quantity.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.11.5 OriginalPercentageInstructed <OrgnlPctglnstd>

*Presence:* [0..1]

*Definition:* Percentage rate of assets to be transferred or transferred, as originally instructed.

*Datatype:* "PercentageRate" on page 2835

#### 36.4.15.11.6 TransferType <TrfTp>

*Presence:* [1..1]

*Definition:* Specifies how the financial instrument is transferred.

*Impacted by:* C40 "SECUGuideline"

**TransferType <TrfTp>** contains one of the following elements (see "TransferType2Choice" on page 2691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2692
Or}	Proprietary <Prtry>	[1..1]	±		2692

#### Constraints

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### 36.4.15.11.7 AdditionalAsset <AddtlAsst>

*Presence:* [0..1]

*Definition:* Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.11.8 NotAvailable <NotAvlbl>

*Presence:* [0..1]

*Definition:* Indicates the asset is no longer available at the transferor party (ceding party).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.11.9 Conversion <Convs>

*Presence:* [0..1]

*Definition:* Security is to be converted into another security before transfer.

**Conversion <Convs>** contains the following elements (see "Conversion1" on page 1822 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1822
	Identification <Id>	[1..1]	±		1822
	Name <Nm>	[0..1]	Text		1823
	ShortName <ShrtNm>	[0..1]	Text		1823
	AdditionalInformation <AddtlInf>	[0..*]	±		1823

#### 36.4.15.11.10 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.



**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

### 36.4.15.11.11 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**36.4.15.11.12 CounterpartyReference <CtrPtyRef>***Presence:* [0..1]*Definition:* Unambiguous identification of the transfer allocated by the counterparty.**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**36.4.15.11.13 BusinessFlowType <BizFlowTp>***Presence:* [0..1]*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).*Datatype:* ["BusinessFlowType1Code"](#) on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**36.4.15.11.14 AverageAcquisitionPrice <AvrgAcqstnPric>***Presence:* [0..1]*Definition:* Average cost per share of the security, including all fees.*Impacted by:* [C1 "ActiveCurrency"](#), [C18 "CurrencyAmount"](#)*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704**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.

**36.4.15.11.15 TransferCurrency <TrfCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**36.4.15.11.16 TotalBookValue <TtlBookVal>**

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**36.4.15.11.17 OriginalCost <OrgnlCost>**

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**36.4.15.11.18 LatestValuation <LatstValtn>**

*Presence:* [0..1]

*Definition:* Date and market value of the asset.

**LatestValuation <LatstValtn>** contains the following elements (see ["DateAndAmount2"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

### 36.4.15.11.19 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see ["Account28"](#) on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

### 36.4.15.11.20 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see ["Account28"](#) on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

**36.4.15.11.21 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.**IntermediaryInformation <IntrmyInf>** contains the following elements (see ["Intermediary43"](#) on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

**36.4.15.11.22 RequestedTradeDate <ReqdTradDt>***Presence:* [0..1]*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* ["ISODate"](#) on page 2822**36.4.15.11.23 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date on which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* ["ISODate"](#) on page 2822**36.4.15.11.24 EffectiveTransferDate <FctvTrfDt>***Presence:* [0..1]*Definition:* Date and time at which the transfer was executed.**EffectiveTransferDate <FctvTrfDt>** contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**36.4.15.11.25 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

### 36.4.15.11.26 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2147
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2147
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

#### 36.4.15.11.27 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.



**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1804 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1804
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1804
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1804
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C1	1804
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C1	1805
	AdditionalInformation <AddtlInf>	[0..*]	±		1805

#### 36.4.15.11.28 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1441
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441
	AdditionalInformation <AddtlInf>	[0..*]	±		1441

#### 36.4.15.11.29 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2678 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2678
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2678
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2679
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2679
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2679
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2681

#### 36.4.15.11.30 AssetsHeldInOwnName <AsstsHeldInOwnNm>

*Presence:* [0..1]

*Definition:* Indicates whether the assets are held in an individual's own name.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.11.31 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 36.4.15.11.32 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 36.4.15.12 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

## 36.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 36.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C23 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 37 sese.014.001.09 PortfolioTransferCancellationRequestV09

## 37.1 MessageDefinition Functionality

### Scope

The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.

### Usage

The PortfolioTransferCancellationRequest message is used to request the cancellation of a portfolio transfer instruction.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a portfolio transfer instruction, the transfer reference of the portfolio transfer, as specified in the original PortfolioTransferInstruction message, is specified in the transfer reference element.

The message identification of the original PortfolioTransferInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a PortfolioTransferCancellationRequest is made using an TransferCancellationStatusReport message.

### Outline

The PortfolioTransferCancellationRequestV09 MessageDefinition is composed of 7 MessageBuildingBlocks:

#### A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.

#### E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

**F. TransferReferences**

Reference of the portfolio transfer instruction to be cancelled.

**G. MarketPracticeVersion**

Identifies the market practice to which the message conforms.

## 37.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <PrtlTrfCxlReq>	[1..1]			
	<b>MessageReference</b> <MsgRef>	[1..1]	±		635
	<b>PoolReference</b> <PoolRef>	[0..1]	±		635
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		635
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		635
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		636
	<b>TransferReferences</b> <TrfRefs>	[1..1]			636
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		636
	<b>ClientReference</b> <ClntRef>	[0..1]	±		636
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		637
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		637
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		637
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		637
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		637

## 37.3 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).

## 37.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 37.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 37.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 37.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 37.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 37.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 37.4.6 TransferReferences <TrfRefs>

*Presence:* [1..1]

*Definition:* Reference of the portfolio transfer instruction to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		636
	<b>ClientReference</b> <ClntRef>	[0..1]	±		636
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		637
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		637
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		637
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		637

#### 37.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 37.4.6.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the portfolio transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.



**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 37.4.6.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the portfolio transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 37.4.6.4 TransferConfirmationReference <TrfConfRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

### 37.4.6.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

### 37.4.6.6 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max35Text" on page 2837

## 37.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see  
"MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 38 **sese.018.001.09** **AccountHoldingInformationV09**

### 38.1 **MessageDefinition Functionality**

#### Scope

The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.

#### Usage

The AccountHoldingInformation message is used to provide information on the individual assets held in a client's account. The assets may be part of a tax efficient product, a pension or general investment product.

#### Outline

The AccountHoldingInformationV09 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BusinessFlowDirectionType

Business flow direction (assets to be delivered or received).

F. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

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

## 38.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctHldgInf>	[1..1]		C12, C13, C22, C23, C24	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		650
	<b>PoolReference</b> <PoolRef>	[0..1]	±		650
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		650
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		651
	<b>BusinessFlowDirectionType</b> <BizFlowDrctnTp>	[0..1]	CodeSet		651
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C35	651
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C35	652
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C35	653
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		653
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		654
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		654
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		655
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		655
	<b>Transferee</b> <Trfee>	[1..1]	±		656
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			656
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		661
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		661
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[0..1]	Text		661
	<b>Portfolio</b> <Prftl>	[0..1]			661
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			665
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		667
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		667
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		668
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C36	668
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			668
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		669

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		669
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	669
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	669
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		669
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C39	670
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		670
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	670
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	670
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	671
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			671
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			672
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	672
	<b>Reason</b> <Rsn>	[0..1]			673
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	673
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		674
	<b>Reference</b> <Ref>	[0..1]	Text		674
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		674
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		674
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		674
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C15	675
	<b>OtherAmount</b> <OthrAmt>	[0..*]			675
	<b>Type</b> <Tp>	[1..1]	±		675
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C15	675
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		676
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			676
	<b>Type</b> <Tp>	[0..1]			676
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677
	<b>Reference</b> <Ref>	[1..1]	Text		677
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		677
	<b>InnovativeFinance</b> <Innvtfnc>	[0..*]			677
	<b>Type</b> <Tp>	[1..1]	±		678
	<b>Information</b> <Inf>	[1..1]	Text		678
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	678
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	678
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	679
	<b>CurrentInvestmentAmount</b> <CurlInvstmtAmt>	[0..1]	Amount	C1	679
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		679
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		680
Or	<b>GeneralInvestment</b> <GnllInvstmt>	[1..1]	±		680
Or}	<b>Pension</b> <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37, C38, C41	680
	<b>Identification</b> <Id>	[0..1]			683
	<b>Identifier</b> <Idr>	[1..1]	Text		684
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		684
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		684
	<b>Type</b> <Tp>	[1..1]			684
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		684
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		685
	<b>TransferScope</b> <TrfScp>	[0..1]	±		686
	<b>TaxReference</b> <TaxRef>	[0..*]	±		686
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		686
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		686
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		687
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		687
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		687

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		687
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		688
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		688
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		688
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		688
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		688
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		689
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		689
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		689
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		689
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		689
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		690
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		690
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		690
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrctn>	[0..1]	Indicator		690
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrctn>	[0..1]	Indicator		690
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		691
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		691
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		691
	<b>PartialDiscovery</b> <PrtlDscvry>	[0..1]	Indicator		691
	<b>ResidualCash</b> <RsdnCsh>	[0..*]	±		691
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		692
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8	692
	<b>LineIdentification</b> <LineId>	[0..1]	Text		694
	<b>Instrument</b> <Instrm>	[1..1]			694
{Or	<b>Security</b> <Scty>	[1..1]	±	C20	694
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		695
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		695
	<b>Quantity</b> <Qty>	[0..1]	±		695
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		696



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientReference</b> <ClntRef>	[0..1]	±		697
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		698
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		698
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	698
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	699
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		699
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		699
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	699
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		700
	<b>Transferor</b> <Trfr>	[0..*]	±		700
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		700
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		701
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		701
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..*]	±		702
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		702
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfclOwnr>	[0..1]	Indicator		702
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		702
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		703
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		703
	<b>Extension</b> <Xtnsn>	[0..*]	±	C19	703

## 38.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

**C8 AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

**C9 BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

**C10 BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

**C11 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C13 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C14 Country**

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

**C15 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C16 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C17 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C18 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C19 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C20 IdentificationGuideline**

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

**C21 IdentificationGuideline**

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

**C22 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C23 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C24 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C25 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C26 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C27 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C28 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C29 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C30 PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

**C31 RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

**C32 RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

**C33 RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

**C34 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C35 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C36 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C37 TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

**C38 TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

**C39 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C40 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C41 TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

**38.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

**38.4.1 MessageReference <MsgRef>**

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

**38.4.2 PoolReference <PoolRef>**

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

**38.4.3 PreviousReference <PrvsRef>**

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 38.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 38.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

*Presence:* [0..1]

*Definition:* Business flow direction (assets to be delivered or received).

*Datatype:* "BusinessFlowDirectionType1Code" on page 2714

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

### 38.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C35 "SocialSecurityNumberGuideline"

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C35 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303



**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C35 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "[IndividualPerson8](#)" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.9 PrimaryCorporateInvestor <PmryCorplInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 38.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 38.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 38.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "InvestmentAccount69" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 38.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 38.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

### 38.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		661
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		661
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[0..1]	Text		661
	<b>Portfolio</b> <PrtfI>	[0..1]			661
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			665
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		667
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		667
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		668
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C36	668
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			668
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		669
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		669
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	669
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	669
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		669
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C39	670
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		670
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	670
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	670
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	671
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			671
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			672
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	672
	<b>Reason</b> <Rsn>	[0..1]			673
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	673

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		674
	<b>Reference</b> <Ref>	[0..1]	Text		674
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		674
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		674
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		674
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C15	675
	<b>OtherAmount</b> <OthrAmt>	[0..*]			675
	<b>Type</b> <Tp>	[1..1]	±		675
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C15	675
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		676
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			676
	<b>Type</b> <Tp>	[0..1]			676
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677
	<b>Reference</b> <Ref>	[1..1]	Text		677
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		677
	<b>InnovativeFinance</b> <InnvtyFinc>	[0..*]			677
	<b>Type</b> <Tp>	[1..1]	±		678
	<b>Information</b> <Inf>	[1..1]	Text		678
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	678
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	678
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	679
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	679
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		679
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		680
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		680
Or}	<b>Pension</b> <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37, C38, C41	680

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]			683
	<b>Identifier</b> <Idr>	[1..1]	Text		684
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		684
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		684
	<b>Type</b> <Tp>	[1..1]			684
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		684
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		685
	<b>TransferScope</b> <TrfScp>	[0..1]	±		686
	<b>TaxReference</b> <TaxRef>	[0..*]	±		686
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		686
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		686
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		687
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrchs>	[0..1]	Quantity		687
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		687
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		687
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		688
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		688
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		688
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		688
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		688
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		689
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		689
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		689
	<b>PensionOrder</b> <PnsnOrd>	[0..*]	±		689
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		689
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		690
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		690
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		690
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrctn>	[0..1]	Indicator		690

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientLifetimeAllowanceProtection</b> <CltLftmAllwncPrctn>	[0..1]	Indicator		690
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		691
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		691
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		691
	<b>PartialDiscovery</b> <PrtlDscvry>	[0..1]	Indicator		691
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		691
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		692
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8	692
	<b>LineIdentification</b> <LineId>	[0..1]	Text		694
	<b>Instrument</b> <Instrm>	[1..1]			694
{Or	<b>Security</b> <Scty>	[1..1]	±	C20	694
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		695
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		695
	<b>Quantity</b> <Qty>	[0..1]	±		695
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		696
	<b>ClientReference</b> <CltRef>	[0..1]	±		697
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		698
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		698
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	698
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	699
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		699
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		699
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	699
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		700
	<b>Transferor</b> <Trfr>	[0..*]	±		700
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		700
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		701
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		701
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..*]	±		702
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		702



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfclOwnr>	[0..1]	Indicator		702
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		702
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		703

### 38.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 38.4.15.2 TransferIdentification <Trfld>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2837

### 38.4.15.3 TransferConfirmationIdentification <TrfConfld>

*Presence:* [0..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2837

### 38.4.15.4 Portfolio <Prftl>

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prtl>** contains one of the following **FundPortfolio7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			665
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		667
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		667
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		668
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C36	668
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			668
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		669
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		669
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	669
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	669
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		669
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C39	670
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		670
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	670
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	670
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	671
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			671
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			672
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	672
	<b>Reason</b> <Rsn>	[0..1]			673
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	673
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		674
	<b>Reference</b> <Ref>	[0..1]	Text		674
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		674

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		674
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		674
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C15	675
	<b>OtherAmount</b> <OthrAmt>	[0..*]			675
	<b>Type</b> <Tp>	[1..1]	±		675
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C15	675
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		676
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			676
	<b>Type</b> <Tp>	[0..1]			676
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677
	<b>Reference</b> <Ref>	[1..1]	Text		677
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		677
	<b>InnovativeFinance</b> <InnvstvFinc>	[0..*]			677
	<b>Type</b> <Tp>	[1..1]	±		678
	<b>Information</b> <Inf>	[1..1]	Text		678
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	678
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	678
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	679
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	679
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		679
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		680
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		680
Or}	<b>Pension</b> <Pnsn>	[1..1]		C9, C10, C30, C31, C32, C33, C37, C38, C41	680
	<b>Identification</b> <Id>	[0..1]			683
	<b>Identifier</b> <Idr>	[1..1]	Text		684
	<b>Subidentifier</b> <Subldr>	[0..1]	Text		684

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		684
	<b>Type</b> <Tp>	[1..1]			684
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		684
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		685
	<b>TransferScope</b> <TrfScp>	[0..1]	±		686
	<b>TaxReference</b> <TaxRef>	[0..*]	±		686
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		686
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		686
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		687
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		687
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		687
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		687
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		688
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		688
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		688
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		688
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		688
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		689
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		689
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		689
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		689
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		689
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		690
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		690
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		690
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrctn>	[0..1]	Indicator		690
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrctn>	[0..1]	Indicator		690
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		691
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		691

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		691

#### 38.4.15.4.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct** <TaxEffcntPdct> contains the following **TaxEfficientProduct7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		667
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		667
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		668
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C36	668
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			668
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		669
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		669
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	669
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	669
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		669
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C39	670
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		670
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	670
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	670
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	671
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			671
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			672
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	672
	<b>Reason</b> <Rsn>	[0..1]			673
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	673
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		674
	<b>Reference</b> <Ref>	[0..1]	Text		674
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		674
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		674
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		674

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalSubscriptionAmount</b> <TtSbcptAmt>	[0..1]	Amount	C1, C15	675
	<b>OtherAmount</b> <OthrAmt>	[0..*]			675
	<b>Type</b> <Tp>	[1..1]	±		675
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C15	675
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		676
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			676
	<b>Type</b> <Tp>	[0..1]			676
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677
	<b>Reference</b> <Ref>	[1..1]	Text		677
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		677
	<b>InnovativeFinance</b> <Innvtfinc>	[0..*]			677
	<b>Type</b> <Tp>	[1..1]	±		678
	<b>Information</b> <Inf>	[1..1]	Text		678
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	678
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	678
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	679
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	679
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		679
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		680

#### 38.4.15.4.1.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1497 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		1497
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		1498

#### 38.4.15.4.1.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are included.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 38.4.15.4.1.3 CashComponentIndicator <CshCmpntInd>

*Presence:* [0..1]

*Definition:* Indicates whether, for the current year, the product contains a cash asset for transfer.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 38.4.15.4.1.4 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* [C36 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PreviousYears &lt;PrvsYrs&gt;</b>	[1..1]			668
{Or	<b>AllPreviousYears &lt;AllPrvsYrs&gt;</b>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears &lt;SpfcPrvsYrs&gt;</b>	[1..*]	Year		669
	<b>CashComponentIndicator &lt;CshCmpntInd&gt;</b>	[0..1]	Indicator		669

#### Constraints

- **SpecificPreviousYearsGuideline**  
SpecificPreviousYears must not contain the current year.

#### 38.4.15.4.1.4.1 PreviousYears <PrvsYrs>

*Presence:* [1..1]

*Definition:* Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AllPreviousYears &lt;AllPrvsYrs&gt;</b>	[1..1]	Text		668
Or}	<b>SpecificPreviousYears &lt;SpfcPrvsYrs&gt;</b>	[1..*]	Year		669

#### 38.4.15.4.1.4.1.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.



*Datatype:* "PreviousAll" on page 2839

#### **38.4.15.4.1.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>**

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2839

#### **38.4.15.4.1.4.2 CashComponentIndicator <CshCmpntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **38.4.15.4.1.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>**

*Presence:* [0..1]

*Definition:* Subscriptions from the previous subscription year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **38.4.15.4.1.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in all previous years.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **38.4.15.4.1.7 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [0..1]

*Definition:* Date the investment plan started.

*Datatype:* "ISODate" on page 2822

#### 38.4.15.4.1.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

*Presence:* [0..1]

*Definition:* Amounts already subscribed for the current year.

*Impacted by:* C39 "TotalAmountYearToDateRule"

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		670
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	670
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	670
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	671

#### Constraints

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

##### 38.4.15.4.1.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>

*Presence:* [1..1]

*Definition:* Date of the first subscription in the current year.

*Datatype:* "ISODate" on page 2822

##### 38.4.15.4.1.8.2 EquityComponent <EqtyCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into equities (not including dividends).

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

##### 38.4.15.4.1.8.3 CashComponent <CshCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 38.4.15.4.1.8.4 TotalAmountYearToDate <TtlAmtYrToDt>

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 38.4.15.4.1.9 BonusOrWithdrawal <BnsOrWdrwl>

*Presence:* [0..\*]

*Definition:* Bonus paid out or withdrawn.

**BonusOrWithdrawal <BnsOrWdrwl>** contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			672
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	672
	<b>Reason</b> <Rsn>	[0..1]			673
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	673
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		674
	<b>Reference</b> <Ref>	[0..1]	Text		674
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		674

**38.4.15.4.1.9.1 TypeOfAmount <TpOfAmt>***Presence:* [1..1]*Definition:* Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.**TypeOfAmount <TpOfAmt>** contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		672
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		672

**38.4.15.4.1.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "TaxWrapperAmountType1Code" on page 2811

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

**38.4.15.4.1.9.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**38.4.15.4.1.9.2 Amount <Amt>***Presence:* [0..1]*Definition:* Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.*Impacted by:* C2 "ActiveOrHistoricCurrency"*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**38.4.15.4.1.9.3 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the bonus amount paid to or an amount withdrawn from the investment product.

**Reason <Rsn>** contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		673
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		673

**38.4.15.4.1.9.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a code.

*Datatype:* "PortfolioWithdrawalReason1Code" on page 2777

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

**38.4.15.4.1.9.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**38.4.15.4.1.9.4 UnclaimedAmount <UclmdAmt>**

*Presence:* [0..1]

*Definition:* Amount of an unclaimed bonus or an unclaimed withdrawal.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**38.4.15.4.1.9.5 Outstanding <Outsdng>**

*Presence:* [0..1]

*Definition:* Indicates whether there is an outstanding bonus or withdrawal amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**38.4.15.4.1.9.6 Reference <Ref>**

*Presence:* [0..1]

*Definition:* Identification of the withdrawal or bonus.

*Datatype:* ["Max35Text"](#) on page 2837

**38.4.15.4.1.9.7 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the monies paid out or withdrawn.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**38.4.15.4.1.10 WithdrawalForResidentialPurchaseProgress <WdrwlForResdntlPurchsPrgrs>**

*Presence:* [0..1]

*Definition:* Indicates if there is a related property purchase in progress at the point of transfer. May be applicable to products such as Lifetime Individual Savings Account (LISA) products.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**38.4.15.4.1.11 TransferorAlternateIdentification <TrfrAltrnld>**

*Presence:* [0..1]

*Definition:* Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

*Datatype:* ["Max35Text"](#) on page 2837

**38.4.15.4.1.12 TotalSubscriptionAmount <TtlSbcptAmt>***Presence:* [0..1]*Definition:* Total amount subscribed over the lifetime of the product.*Impacted by:* C1 "ActiveCurrency", C15 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**38.4.15.4.1.13 OtherAmount <OthrAmt>***Presence:* [0..\*]*Definition:* Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.**OtherAmount <OthrAmt>** contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	±		675
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C15	675

**38.4.15.4.1.13.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of amount.**Type <Tp>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**38.4.15.4.1.13.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C1 "ActiveCurrency", C15 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 38.4.15.4.1.14 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

*Presence:* [0..1]

*Definition:* Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

*Datatype:* "ISODate" on page 2822

#### 38.4.15.4.1.15 InvestorTaxReference <InvstrTaxRef>

*Presence:* [0..1]

*Definition:* Identification of the investor as assigned by a tax authority.

**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[0..1]			676
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677
	<b>Reference</b> <Ref>	[1..1]	Text		677

#### 38.4.15.4.1.15.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		676
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		677

#### 38.4.15.4.1.15.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.



*Datatype:* "PersonIdentificationType7Code" on page 2775

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 38.4.15.4.1.15.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 38.4.15.4.1.15.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* "Max35Text" on page 2837

#### 38.4.15.4.1.16 InvestmentsToFollowValue <InvstmntsToFlwVal>

*Presence:* [0..\*]

*Definition:* Value of the investments to follow.

**InvestmentsToFollowValue <InvstmntsToFlwVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 38.4.15.4.1.17 InnovativeFinance <Innvtfnc>

*Presence:* [0..\*]

*Definition:* Information about an innovative finance product.

**InnovativeFinance <InnvFinc>** contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type &lt;Tp&gt;</b>	[1..1]	±		678
	<b>Information &lt;Inf&gt;</b>	[1..1]	Text		678

#### 38.4.15.4.1.17.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of innovative finance product.

**Type <Tp>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 38.4.15.4.1.17.2 Information <Inf>

*Presence:* [1..1]

*Definition:* Details of an innovative finance product.

*Datatype:* "[Max350Text](#)" on page 2837

#### 38.4.15.4.1.18 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

*Presence:* [0..1]

*Definition:* Lowest investment amount in the current year, used to calculate a tax deduction amount.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

##### 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.

#### 38.4.15.4.1.19 TaxCalculationBase <TaxClctnBase>

*Presence:* [0..1]

*Definition:* Amount of money from which the tax deduction is calculated.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

**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.

**38.4.15.4.1.20 UnusedTaxDeduction <UusdTaxDdctn>**

*Presence:* [0..1]

*Definition:* Unused tax deduction amount.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**38.4.15.4.1.21 CurrentInvestmentAmount <CurInvstmtAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**38.4.15.4.1.22 EstimatedValue <EstmtdVal>**

*Presence:* [0..1]

*Definition:* Estimated value of the assets of the tax efficient product to be transferred.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**38.4.15.4.1.23 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the tax efficient product.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**38.4.15.4.2 GeneralInvestment <GnlInvstmt>***Presence:* [1..1]*Definition:* Portfolio is a general investment.**GeneralInvestment <GnlInvstmt>** contains the following elements (see ["GeneralInvestment2"](#) on page 1503 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

**38.4.15.4.3 Pension <Pnsn>***Presence:* [1..1]*Definition:* Portfolio is a pension policy, plan or scheme.

*Impacted by:* [C9 "BlockTransferRetirementAgeProtectionRule"](#), [C10 "BlockTransferTaxFreeCashProtectionRule"](#), [C30 "PensionOrderTypeGuideline"](#), [C31 "RetirementAgeRule"](#), [C32 "RingFencedDrawdownAssets1Rule"](#), [C33 "RingFencedDrawdownAssets2Rule"](#), [C37 "TaxFreeCashAmountRule"](#), [C38 "TaxFreeCashAndValueRule"](#), [C41 "TransferScopeTrancheldentification1Rule"](#)

**Pension <Pnsn>** contains the following **Pension5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]			683
	<b>Identifier</b> <Idr>	[1..1]	Text		684
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		684
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		684
	<b>Type</b> <Tp>	[1..1]			684
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		684
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		685
	<b>TransferScope</b> <TrfScp>	[0..1]	±		686
	<b>TaxReference</b> <TaxRef>	[0..*]	±		686
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		686
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		686
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		687
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		687
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		687
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		687
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		688
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrtcn>	[0..1]	Indicator		688
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		688
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		688
	<b>RetirementAgeProtection</b> <RtrmntAgePrtcn>	[0..1]	Indicator		688
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		689
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		689
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		689
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		689
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		689
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		690
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		690
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntdBnfts>	[0..1]	Indicator		690
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		690

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientLifetimeAllowanceProtection</b> <CltLftmAllwncPrctn>	[0..1]	Indicator		690
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		691
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		691
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		691

### Constraints

- **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/RetirementAgeProtection Must be absent

- **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/TaxFreeCashProtection Must be absent

- **PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

- **RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

On Condition

/RetirementAgeProtection is equal to value 'false'

Or /RetirementAgeProtection is equal to value '0'

Following Must be True

/RetirementAge Must be absent

- **RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

On Condition

/DrawdownStatus/Code is equal to value 'None'

Following Must be True  
 /RingFencedDrawdownAssets Must be absent

- **RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

On Condition  
 /DrawdownStatus/Code is equal to value 'Partial'  
 Or /DrawdownStatus/Code is equal to value 'Full'  
 Following Must be True  
 /RingFencedDrawdownAssets Must be present

- **TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'false'  
 Or /TaxFreeCashProtection is equal to value '0'  
 Following Must be True  
 /TaxFreeCashAmount Must be absent

- **TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'true'  
 Or /TaxFreeCashProtection is equal to value '1'  
 Following Must be True  
 /TaxFreeCashAmount Must be present  
 And /ValueOfPensionPolicyOrPlanOrScheme Must be present

- **TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition  
 /TransferScope/Code is different from value 'DrawdownTranche'  
 Following Must be True  
 /DrawdownTrancheIdentification Must be absent

### 38.4.15.4.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identifier</b> <Idr>	[1..1]	Text		684
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		684
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		684

#### 38.4.15.4.3.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2837

#### 38.4.15.4.3.1.2 SubIdentifier <Subldr>

*Presence:* [0..1]

*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.

*Datatype:* "Max35Text" on page 2837

#### 38.4.15.4.3.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the identification of the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 38.4.15.4.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		684
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		685

#### 38.4.15.4.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionSchemeType3Code" on page 2774



CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

#### 38.4.15.4.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 38.4.15.4.3.3 TransferScope <TrfScp>

*Presence:* [0..1]

*Definition:* Scope of the pension policy, plan or scheme transfer.

**TransferScope <TrfScp>** contains one of the following elements (see "[PensionTransferScope1Choice](#)" on page 1858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

#### 38.4.15.4.3.4 TaxReference <TaxRef>

*Presence:* [0..\*]

*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "[TaxReference1](#)" on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 38.4.15.4.3.5 DrawdownTrancheIdentification <DrwdwnTrchId>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "[Max35Text](#)" on page 2837

#### 38.4.15.4.3.6 DrawdownStatus <DrwdwnSts>

*Presence:* [0..1]

*Definition:* Drawdown status of the pension.

**DrawdownStatus <DrwdwnSts>** contains one of the following elements (see "[DrawdownStatus1Choice](#)" on page 2498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2499

#### 38.4.15.4.3.7 DrawdownType <DrwdwnTp>

*Presence:* [0..1]

*Definition:* Type of drawdown tranche.

**DrawdownType <DrwdwnTp>** contains one of the following elements (see "[DrawdownType2Choice](#)" on page 1842 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1842
Or}	Proprietary <Prtry>	[1..1]	±		1842

#### 38.4.15.4.3.8 NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>

*Presence:* [0..1]

*Definition:* Number of drawdown tranches.

*Datatype:* "[Number](#)" on page 2834

#### 38.4.15.4.3.9 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the pension policy, plan or scheme.

**EstimatedValue <EstmtdVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 38.4.15.4.3.10 BlockTransfer <BlckTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer forms part of a block transfer.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**38.4.15.4.3.11 BlockTransferReference <BlckTrfRef>***Presence:* [0..1]*Definition:* When the transfer is part of a block transfer, reference to link several items.*Datatype:* "Max35Text" on page 2837**38.4.15.4.3.12 TaxFreeCashProtection <TaxFreeCshPrctn>***Presence:* [0..1]*Definition:* Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**38.4.15.4.3.13 TaxFreeCashAmount <TaxFreeCshAmt>***Presence:* [0..1]*Definition:* Amount of cash that is tax free.**TaxFreeCashAmount <TaxFreeCshAmt>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**38.4.15.4.3.14 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>***Presence:* [0..1]*Definition:* Value of the pension policy, plan or scheme.**ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**38.4.15.4.3.15 RetirementAgeProtection <RtrmntAgePrctn>***Presence:* [0..1]*Definition:* Indicates whether the pension policy, plan or scheme has retirement age protection.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**38.4.15.4.3.16 RetirementAge <RtrmntAge>***Presence:* [0..1]*Definition:* Age at which the pension policy, plan or scheme holder retires.*Datatype:* "DecimalNumber" on page 2834**38.4.15.4.3.17 Sharing <Shrg>***Presence:* [0..1]*Definition:* Indicates whether the pension benefits are shared.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**38.4.15.4.3.18 LumpSumType <LumpSumTp>***Presence:* [0..\*]*Definition:* Type of lump sum paid to a member of the pension policy, plan or scheme.**LumpSumType <LumpSumTp>** contains one of the following elements (see "LumpSumType1Choice" on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1828
Or}	Proprietary <Prtry>	[1..1]	±		1829

**38.4.15.4.3.19 PensionOrder <PnsnOrdr>***Presence:* [0..\*]*Definition:* Order attached to the pension policy, plan or scheme.**PensionOrder <PnsnOrdr>** contains the following elements (see "PensionOrder1" on page 1776 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	AdditionalInformation <AddtlInf>	[0..*]	±		1777

**38.4.15.4.3.20 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>***Presence:* [0..1]*Definition:* Indicates whether assets held within the pension are ring-fenced into specific tranches.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 38.4.15.4.3.21 MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>

*Presence:* [0..1]

*Definition:* Money Purchase Annual Allowance (MPAA) details.

**MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>** contains the following elements (see "[MoneyPurchaseAnnualAllowance1](#)" on page 1789 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1789
	TriggeredDate <TrggrdDt>	[0..1]	Date		1790

#### 38.4.15.4.3.22 SafeguardBenefit <SfgrdBnft>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.23 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntdBnfts>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.24 LifetimeAllowanceProtection <LftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.25 ClientLifetimeAllowanceProtection <CIntLftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the client has any lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.26 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

*Presence:* [0..1]

*Definition:* Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.27 NonWrapperTransfer <NonWrpprTrf>

*Presence:* [0..1]

*Definition:* Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.4.3.28 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 38.4.15.5 PartialDiscovery <PrtlDscvry>

*Presence:* [0..1]

*Definition:* Indicates that not all the assets in the holding/portfolio are specified and that some other kind of other communication is required.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 38.4.15.6 ResidualCash <RsdICsh>

*Presence:* [0..\*]

*Definition:* Specifies whether there is cash in the account awaiting investment and the currency.

**ResidualCash <RsdICsh>** contains the following elements (see "[ResidualCash1](#)" on page 1938 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		1939
	Currency <Ccy>	[0..1]	CodeSet	C1	1939

#### 38.4.15.7 TaxDate <TaxDt>

*Presence:* [0..1]

*Definition:* Tax date applicable to all the assets.

*Datatype:* "[ISODate](#)" on page 2822

#### 38.4.15.8 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* [C7 "AssetQuantity1Guideline"](#), [C8 "AssetQuantity2Guideline"](#)



**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following **FinancialInstrument99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LineIdentification</b> <LineId>	[0..1]	Text		694
	<b>Instrument</b> <Instrm>	[1..1]			694
{Or	<b>Security</b> <Scty>	[1..1]	±	C20	694
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		695
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		695
	<b>Quantity</b> <Qty>	[0..1]	±		695
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		696
	<b>ClientReference</b> <CIntRef>	[0..1]	±		697
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		698
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		698
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C2, C16	698
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	699
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		699
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		699
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	699
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		700
	<b>Transferor</b> <Trfr>	[0..*]	±		700
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		700
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		701
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		701
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..*]	±		702
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		702
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsultsInChngOfBnfcIOwnr>	[0..1]	Indicator		702
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		702

#### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

**38.4.15.8.1 LineIdentification <LineId>***Presence:* [0..1]*Definition:* Identification of the line of holding in the portfolio.*Datatype:* "Max35Text" on page 2837**38.4.15.8.2 Instrument <Instrm>***Presence:* [1..1]*Definition:* Identification of the asset.**Instrument <Instrm>** contains one of the following **FinancialInstrument62Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C20	694
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		695
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		695

**38.4.15.8.2.1 Security <Scty>***Presence:* [1..1]*Definition:* Identification of the security.*Impacted by:* C20 "IdentificationGuideline"**Security <Scty>** contains the following elements (see "FinancialInstrumentIdentification3" on page 1516 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1517
	Name <Nm>	[0..1]	Text		1518
	ShortName <ShrtNm>	[0..1]	Text		1518
	ClassificationType <ClssfctnTp>	[0..1]	±		1518
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1519
	AlternateSecurity <AltrnScty>	[0..*]		C21	1519
	Identification <Id>	[1..1]	±		1519
	Name <Nm>	[0..1]	Text		1520
	ShortName <ShrtNm>	[0..1]	Text		1520
	ClassificationType <ClssfctnTp>	[0..1]	±		1520
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1521

**Constraints**

- **IdentificationGuideline**

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

**38.4.15.8.2.2 CashAsset <CshAsst>**

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

**CashAsset <CshAsst>** contains the following elements (see "CashAsset2" on page 1529 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1529
{Or	Code <Cd>	[1..1]	CodeSet		1529
Or}	Proprietary <Prtry>	[1..1]	±		1529
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1530
	AdditionalInformation <AddtlInf>	[0..1]	±		1530

**38.4.15.8.2.3 OtherAsset <OthrAsst>**

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

**38.4.15.8.3 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Specifies the quantity of assets to be transferred in units or in a percentage rate.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2383 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2383
	PercentageRate <PctgRate>	[0..1]	Rate		2383
	FaceAmount <FaceAmt>	[0..1]	Amount		2383
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2384
	CashAmount <CshAmt>	[0..1]	Amount	C1	2384
	OtherAsset <OthrAsst>	[0..1]	Text		2384

#### 38.4.15.8.4 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

#### 38.4.15.8.5 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**38.4.15.8.6 CounterpartyReference <CtrPtyRef>***Presence:* [0..1]*Definition:* Unambiguous identification of the transfer allocated by the counterparty.**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**38.4.15.8.7 BusinessFlowType <BizFlowTp>***Presence:* [0..1]*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).*Datatype:* "BusinessFlowType1Code" on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**38.4.15.8.8 AverageAcquisitionPrice <AvrgAcqstnPric>***Presence:* [0..1]*Definition:* Average cost per share of the security, including all fees.*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C16 "CurrencyAmount"](#)*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**38.4.15.8.9 TransferCurrency <TrfCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**38.4.15.8.10 TotalBookValue <TtlBookVal>**

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**38.4.15.8.11 LatestValuation <LatstValtn>**

*Presence:* [0..1]

*Definition:* Date and market value of the asset.

**LatestValuation <LatstValtn>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**38.4.15.8.12 OriginalCost <OrgnlCost>**

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**38.4.15.8.13 TransfereeAccount <TrfeeAcct>**

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "[Account28](#)" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

**38.4.15.8.14 Transferor <Trfr>**

*Presence:* [0..\*]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "[Account28](#)" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

**38.4.15.8.15 IntermediaryInformation <IntrmyInf>**

*Presence:* [0..\*]



*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 38.4.15.8.16 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1804 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1804
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1804
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1804
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C1	1804
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C1	1805
	AdditionalInformation <AddtlInf>	[0..*]	±		1805

#### 38.4.15.8.17 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1441
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441
	AdditionalInformation <AddtlInf>	[0..*]	±		1441

**38.4.15.8.18 SettlementPartiesDetails <SttlmPtiesDtls>**

*Presence:* [0..\*]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2678 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <StkpgPlc>	[0..1]	±		2678
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2678
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2679
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2679
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2679
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2681

**38.4.15.8.19 AssetsHeldInOwnName <AsstsHeldInOwnNm>**

*Presence:* [0..1]

*Definition:* Indicates whether the assets are held in an individual's own name.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**38.4.15.8.20 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>**

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**38.4.15.8.21 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 38.4.15.9 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 38.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

### 38.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C19 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 39 sese.019.001.08 AccountHoldingInformationRequestV08

## 39.1 MessageDefinition Functionality

### Scope

The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.

### Usage

The AccountHoldingInformationRequest message is used to request information about assets held on behalf of the client for which it intends to instruct a portfolio transfer at a later time.

### Outline

The AccountHoldingInformationRequestV08 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BusinessFlowDirectionType

Business flow direction (assets to be delivered or received).

F. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

**J. SecondaryCorporateInvestor**

Information identifying the secondary corporate investor, for example, name and address.

**K. OtherCorporateInvestor**

Information identifying the other corporate investors, for example, name and address.

**L. TransferorAccount**

Identification of the account owned by the investor at the old plan manager (account servicer).

**M. NomineeAccount**

Account held in the name of a party that is not the name of the beneficial owner of the shares.

**N. Transferee**

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**O. ProductTransfer**

Information about the portfolio and assets.

**P. MarketPracticeVersion**

Identifies the market practice to which the message conforms.

**Q. Extension**

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

## 39.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctHldgInfReq>	[1..1]		C7, C8, C14, C15, C16	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		711
	<b>PoolReference</b> <PoolRef>	[0..1]	±		711
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		712
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		712
	<b>BusinessFlowDirectionType</b> <BizFlowDrctnTp>	[0..1]	CodeSet		712
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C22	713
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C22	713
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C22	714
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		715
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		715
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		716
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		716
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		717
	<b>Transferee</b> <Trfee>	[1..1]	±		717
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			717
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		720
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		720
	<b>Portfolio</b> <Prttl>	[0..1]			720
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		721
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		721
Or}	<b>Pension</b> <Pnsn>	[1..1]			722
	<b>Identification</b> <Id>	[0..1]			722
	<b>Identifier</b> <Idr>	[1..1]	Text		723
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		723
	<b>Type</b> <Tp>	[0..1]			723
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		723

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		724
	<b>TransferScope</b> <TrfScp>	[0..1]	±		725
	<b>TaxReference</b> <TaxRef>	[0..*]	±		725
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		725
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		725
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		726
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]			726
	<b>LineIdentification</b> <LineId>	[0..1]	Text		727
	<b>Instrument</b> <Instrm>	[1..1]			727
{Or	<b>Security</b> <Scty>	[1..1]	±	C13	727
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		727
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		728
	<b>ClientReference</b> <ClntRef>	[0..1]	±		728
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		728
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		729
	<b>Transferor</b> <Trfr>	[0..1]	±		729
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		730
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		730
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		730
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		730
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		731
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		731
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	731

## 39.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)



contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### **C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### **C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### **C5 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.

### **C6 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### **C7 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

### **C8 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

### **C9 Country**

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

### **C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 IdentificationGuideline**

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

**C14 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /SecondaryIndividualInvestor Must be absent
```

*This constraint is defined at the MessageDefinition level.*

**C15 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

```
On Condition
  /PrimaryIndividualInvestor is absent
Following Must be True
  /OtherIndividualInvestor[*] Must be absent
```

*This constraint is defined at the MessageDefinition level.*

**C16 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C17 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C18 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C19 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C20 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C21 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C22 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C23 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

## 39.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 39.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 39.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 39.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 39.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 39.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

*Presence:* [0..1]

*Definition:* Business flow direction (assets to be delivered or received).

*Datatype:* "BusinessFlowDirectionType1Code" on page 2714

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

## 39.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C22 "SocialSecurityNumberGuideline"

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScIScItyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C22 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C22 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

## 39.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 39.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

### 39.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).



**TransferorAccount <TrfrAcct>** contains the following elements (see "InvestmentAccount69" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 39.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "InvestmentAccount69" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 39.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

### 39.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		720
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		720
	<b>Portfolio</b> <Prtf>	[0..1]			720
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		721
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		721
Or}	<b>Pension</b> <Pnsn>	[1..1]			722
	<b>Identification</b> <Id>	[0..1]			722
	<b>Identifier</b> <Idr>	[1..1]	Text		723
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		723
	<b>Type</b> <Tp>	[0..1]			723
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		723
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		724
	<b>TransferScope</b> <TrfScp>	[0..1]	±		725
	<b>TaxReference</b> <TaxRef>	[0..*]	±		725
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		725
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		725
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		726
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]			726
	<b>LineIdentification</b> <LineId>	[0..1]	Text		727
	<b>Instrument</b> <Instrm>	[1..1]			727
{Or	<b>Security</b> <Scty>	[1..1]	±	C13	727
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		727
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		728
	<b>ClientReference</b> <ClntRef>	[0..1]	±		728
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		728
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		729
	<b>Transferor</b> <Trfr>	[0..1]	±		729
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		730
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		730

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltInChngOfBnfclOwnr>	[0..1]	Indicator		730
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		730
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		731

### 39.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

### 39.4.15.2 TransferIdentification <Trfld>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2837

### 39.4.15.3 Portfolio <Prftl>

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prftl>** contains one of the following **FundPortfolio9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		721
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		721
Or}	<b>Pension</b> <Pnsn>	[1..1]			722
	<b>Identification</b> <Id>	[0..1]			722
	<b>Identifier</b> <Idr>	[1..1]	Text		723
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		723
	<b>Type</b> <Tp>	[0..1]			723
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		723
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		724
	<b>TransferScope</b> <TrfScp>	[0..1]	±		725
	<b>TaxReference</b> <TaxRef>	[0..*]	±		725
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		725
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		725
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		726

#### 39.4.15.3.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct <TaxEffcntPdct>** contains the following elements (see "TaxEfficientProduct4" on page 1479 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1480
	CurrentYear <CurYr>	[0..1]	Indicator		1480
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1481

#### 39.4.15.3.2 GeneralInvestment <GnlInvstmt>

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <GnlInvstmt>** contains the following elements (see "GeneralInvestment2" on page 1503 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurlnvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

### 39.4.15.3.3 Pension <Pnsn>

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.

**Pension <Pnsn>** contains the following **Pension6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]			722
	<b>Identifier</b> <Idr>	[1..1]	Text		723
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		723
	<b>Type</b> <Tp>	[0..1]			723
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		723
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		724
	<b>TransferScope</b> <TrfScp>	[0..1]	±		725
	<b>TaxReference</b> <TaxRef>	[0..*]	±		725
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		725
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		725
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		726

#### 39.4.15.3.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identifier</b> <Idr>	[1..1]	Text		723
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		723

#### 39.4.15.3.3.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2837

#### 39.4.15.3.3.1.2 SubIdentifier <Subldr>

*Presence:* [0..1]

*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.

*Datatype:* "Max35Text" on page 2837

#### 39.4.15.3.3.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the identification of the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 39.4.15.3.3.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		723
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		724

#### 39.4.15.3.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionSchemeType3Code" on page 2774

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

**39.4.15.3.3.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 39.4.15.3.3.3 TransferScope <TrfScp>

*Presence:* [0..1]

*Definition:* Scope of the pension policy, plan or scheme transfer.

**TransferScope <TrfScp>** contains one of the following elements (see "[PensionTransferScope1Choice](#)" on page 1858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

#### 39.4.15.3.3.4 TaxReference <TaxRef>

*Presence:* [0..\*]

*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "[TaxReference1](#)" on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 39.4.15.3.3.5 DrawdownTrancheIdentification <DrwdwnTrchId>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "[Max35Text](#)" on page 2837

#### 39.4.15.3.3.6 NonWrapperTransfer <NonWrpprTrf>

*Presence:* [0..1]

**Definition:** Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 39.4.15.3.3.7 AdditionalInformation <AddtlInf>

**Presence:** [0..\*]

**Definition:** Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 39.4.15.4 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

**Presence:** [0..\*]

**Definition:** Asset to be transferred.

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following **FinancialInstrument101** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		727
	Instrument <Instrm>	[1..1]			727
{Or	Security <Scty>	[1..1]	±	C13	727
Or	CashAsset <CshAsst>	[1..1]	±		727
Or}	OtherAsset <OthrAsst>	[1..1]	±		728
	ClientReference <ClntRef>	[0..1]	±		728
	CounterpartyReference <CtrPtyRef>	[0..1]	±		728
	TransfereeAccount <TrfeeAcct>	[0..1]	±		729
	Transferor <Trfr>	[0..1]	±		729
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		730
	AssetsHeldInOwnName <AsstsHeldInOwnNm>	[0..1]	Indicator		730
	TransferResultsInChangeOfBeneficialOwner <TrfRsultsInChngOfBnfcIOwnr>	[0..1]	Indicator		730
	AdditionalInformation <AddtlInf>	[0..*]	±		730

**39.4.15.4.1 Lineldentification <Lineld>***Presence:* [0..1]*Definition:* Identification of the line of holding in the portfolio.*Datatype:* "Max35Text" on page 2837**39.4.15.4.2 Instrument <Instrm>***Presence:* [1..1]*Definition:* Identification of the asset.**Instrument <Instrm>** contains one of the following **FinancialInstrument61Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C13	727
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±		727
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		728

**39.4.15.4.2.1 Security <Scty>***Presence:* [1..1]*Definition:* Identification of the security.*Impacted by:* C13 "IdentificationGuideline"**Security <Scty>** contains the following elements (see "FinancialInstrumentIdentification2" on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

**Constraints**

- IdentificationGuideline**

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

**39.4.15.4.2.2 CashAsset <CshAsst>***Presence:* [1..1]*Definition:* Identification of the cash asset.

**CashAsset <CshAsst>** contains the following elements (see "[CashAsset2](#)" on page 1529 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1529
{Or	Code <Cd>	[1..1]	CodeSet		1529
Or}	Proprietary <Prtry>	[1..1]	±		1529
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1530
	AdditionalInformation <AddtlInf>	[0..1]	±		1530

#### 39.4.15.4.2.3 OtherAsset <OthrAsst>

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "[OtherAsset2](#)" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

#### 39.4.15.4.3 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 39.4.15.4.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

**Definition:** Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 39.4.15.4.5 TransfereeAccount <TrfeeAcct>

**Presence:** [0..1]

**Definition:** Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..1]	±		1700
	AccountIdentification <AcctId>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

#### 39.4.15.4.6 Transferor <Trfr>

**Presence:** [0..1]

**Definition:** Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..1]	±		1700
	AccountIdentification <AcctId>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

**39.4.15.4.7 SettlementPartiesDetails <SttlmPtiesDtls>***Presence:* [0..1]*Definition:* Chain of parties involved in the settlement of a transaction.**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters18" on page 2639 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2640
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2640
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2640
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2641
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2641

**39.4.15.4.8 AssetsHeldInOwnName <AsstsHeldInOwnNm>***Presence:* [0..1]*Definition:* Indicates whether the assets are held in an individual's own name.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**39.4.15.4.9 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>***Presence:* [0..1]*Definition:* Indicates whether the transfer results in a change of beneficial owner.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**39.4.15.4.10 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 39.4.15.5 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

## 39.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

## 39.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### **Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 40 sese.043.001.01 PortfolioTransferCompletionV01

## 40.1 MessageDefinition Functionality

### Scope

The PortfolioTransferCompletion message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm that the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee) has been completed.

### Usage

The PortfolioTransferCompletion message is used to confirm one or more portfolio transfers for one client.

The reference of each portfolio transfer completion is identified in ProductTransfer/TransferCompletionIdentification. The reference of the original portfolio transfer as assigned by the instructing party is specified in TransferInstructionReference. The message identification of the PortfolioTransferInstruction message in which the portfolio transfers were conveyed may also be quoted in RelatedReference but this is not recommended.

### Outline

The PortfolioTransferCompletionV01 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

F. RegisteredHolder

Official registered holder information.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument has been transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

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

## 40.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfCmpltn>	[1..1]		C15, C16, C28, C29, C30	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		745
	<b>PoolReference</b> <PoolRef>	[0..1]	±		745
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		745
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		746
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C42	746
	<b>RegisteredHolder</b> <RegdHldr>	[0..1]	±	C42	747
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C42	747
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C42	748
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		749
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		749
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		750
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		750
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		751
	<b>Transferee</b> <Trfee>	[1..1]	±		751
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			751
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		757
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		757
	<b>TransferCompletionIdentification</b> <TrfCmpltnId>	[1..1]	Text		757
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		758
	<b>Portfolio</b> <Prtl>	[0..1]			758
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			762
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		764
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		764
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		765
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	765
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			765
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		766
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		766
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	766
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	766
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		766
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	767
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		767
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	767
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	767
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	768
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			768
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			769
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	769
	<b>Reason</b> <Rsn>	[0..1]			770
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	770
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		771
	<b>Reference</b> <Ref>	[0..1]	Text		771
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		771
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		771
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		771
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	772
	<b>OtherAmount</b> <OthrAmt>	[0..*]			772
	<b>Type</b> <Tp>	[1..1]	±		772
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	772
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		773
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			773
	<b>Type</b> <Tp>	[0..1]			773

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774
	<b>Reference</b> <Ref>	[1..1]	Text		774
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		774
	<b>InnovativeFinance</b> <Innvtfnc>	[0..*]			774
	<b>Type</b> <Tp>	[1..1]	±		775
	<b>Information</b> <Inf>	[1..1]	Text		775
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	775
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	775
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	776
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	776
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		776
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		777
Or	<b>GeneralInvestment</b> <Gnllnvstmt>	[1..1]	±		777
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	777
	<b>Identification</b> <Id>	[0..1]			780
	<b>Identifier</b> <Idr>	[1..1]	Text		781
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		781
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		781
	<b>Type</b> <Tp>	[1..1]			781
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		781
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		782
	<b>TransferScope</b> <TrfScp>	[0..1]	±		783
	<b>TaxReference</b> <TaxRef>	[0..*]	±		783
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		783
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		783
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		784
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		784

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		784
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		784
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		785
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrtcn>	[0..1]	Indicator		785
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		785
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		785
	<b>RetirementAgeProtection</b> <RtrmntAgePrtcn>	[0..1]	Indicator		785
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		786
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		786
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		786
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		786
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		786
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		787
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		787
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		787
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		787
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrtcn>	[0..1]	Indicator		787
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		788
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		788
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		788
	<b>AllOtherCash</b> <AllOthrCsh>	[0..*]	±		788
	<b>CashAll</b> <CshAll>	[0..*]	±		789
	<b>ResidualCash</b> <RsdlCsh>	[0..*]	±		789
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		789
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		789
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	791
	<b>LineIdentification</b> <LineId>	[0..1]	Text		793
	<b>Instrument</b> <Instrm>	[1..1]			793
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	794

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	794
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		795
	<b>Quantity</b> <Qty>	[0..1]	±		795
	<b>PartialInstructedQuantity</b> <PrtlInstQty>	[0..1]	Indicator		795
	<b>OriginalPercentageInstructed</b> <OrgnlPctgInstd>	[0..1]	Rate		796
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	796
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		796
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		796
	<b>Conversion</b> <Convs>	[0..1]	±		797
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		797
	<b>ClientReference</b> <ClntRef>	[0..1]	±		798
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		799
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		799
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C1, C18	799
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	800
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		800
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	800
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		800
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		801
	<b>Transferor</b> <Trfr>	[0..1]	±		801
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		802
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		802
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		802
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		802
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		802
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		803
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		805
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		806
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		806
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		807
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		807

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		807
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		808
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		808
	<b>Extension</b> <Xtnsn>	[0..*]	±	C23	808

## 40.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C4 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C5 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.

### C6 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C7 AssetQuantity1Guideline

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

### C8 AssetQuantity2Guideline

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.



**C9 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.

**C10 BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

**C11 BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

**C12 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C13 Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

**C14 Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

**C15 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C16 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C17 Country**

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

**C18 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C19 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C20 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C21 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C22 EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

**C23 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C24 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C25 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C26 IdentificationGuideline**

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

**C27 IdentificationGuideline**

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

**C28 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C29 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C30 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C31 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C32 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C33 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C34 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C35 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C36 PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

**C37 RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

**C38 RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

**C39 RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

**C40 SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**C41 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C42 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C43 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C44 TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

**C45 TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

**C46 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C47 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C48 TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

## 40.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 40.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 40.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 40.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 40.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 40.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C42 "SocialSecurityNumberGuideline"](#)

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see ["IndividualPerson8"](#) on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <Sc/SctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 40.4.6 RegisteredHolder <RegdHldr>

*Presence:* [0..1]

*Definition:* Official registered holder information.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**RegisteredHolder <RegdHldr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 40.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 40.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2302 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303



**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 40.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

## 40.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

#### 40.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

#### 40.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 40.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 1292 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

### 40.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument has been transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification309](#)" on page 1973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	1973
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	ProprietaryIdentification <PrtryId>	[0..1]	±		1976
	LEI <LEI>	[0..1]	IdentifierSet		1976

### 40.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		757
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		757
	<b>TransferCompletionIdentification</b> <TrfCmpltnId>	[1..1]	Text		757
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		758
	<b>Portfolio</b> <Prttl>	[0..1]			758
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			762
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		764
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		764
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		765
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	765
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			765
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765
Or}	<b>SpecificPreviousYears</b> <SpcfcPrvsYrs>	[1..*]	Year		766
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		766
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	766
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	766
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		766
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	767
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		767
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	767
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	767
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	768
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			768
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			769
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	769
	<b>Reason</b> <Rsn>	[0..1]			770
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	770
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		771
	<b>Reference</b> <Ref>	[0..1]	Text		771
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		771
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		771
	<b>TransferorAlternateIdentification</b> <TrfrAltrnId>	[0..1]	Text		771
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	772
	<b>OtherAmount</b> <OthrAmt>	[0..*]			772
	<b>Type</b> <Tp>	[1..1]	±		772
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	772
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		773
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			773
	<b>Type</b> <Tp>	[0..1]			773
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774
	<b>Reference</b> <Ref>	[1..1]	Text		774
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		774
	<b>InnovativeFinance</b> <InnvtfFinc>	[0..*]			774
	<b>Type</b> <Tp>	[1..1]	±		775
	<b>Information</b> <Inf>	[1..1]	Text		775
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	775
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	775
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	776
	<b>CurrentInvestmentAmount</b> <CurlInvstmtAmt>	[0..1]	Amount	C1	776
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		776
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		777
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		777
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44,	777

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
				C45, C48	
	<b>Identification</b> <Id>	[0..1]			780
	<b>Identifier</b> <Idr>	[1..1]	Text		781
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		781
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		781
	<b>Type</b> <Tp>	[1..1]			781
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		781
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		782
	<b>TransferScope</b> <TrfScp>	[0..1]	±		783
	<b>TaxReference</b> <TaxRef>	[0..*]	±		783
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		783
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		783
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		784
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		784
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		784
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		784
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		785
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		785
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		785
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		785
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		785
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		786
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		786
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		786
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		786
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		786
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		787
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		787
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		787

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtc>	[0..1]	Indicator		787
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrtc>	[0..1]	Indicator		787
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		788
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		788
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		788
	<b>AllOtherCash</b> <AllOthrCsh>	[0..*]	±		788
	<b>CashAll</b> <CshAll>	[0..*]	±		789
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		789
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		789
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		789
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]		C7, C8, C13, C14, C22	791
	<b>LineIdentification</b> <LineId>	[0..1]	Text		793
	<b>Instrument</b> <Instrm>	[1..1]			793
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	794
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	794
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		795
	<b>Quantity</b> <Qty>	[0..1]	±		795
	<b>PartialInstructedQuantity</b> <PrtlInstdQty>	[0..1]	Indicator		795
	<b>OriginalPercentageInstructed</b> <OrgnlPctglnstd>	[0..1]	Rate		796
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	796
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		796
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		796
	<b>Conversion</b> <Convs>	[0..1]	±		797
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		797
	<b>ClientReference</b> <ClntRef>	[0..1]	±		798
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		799
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		799
	<b>AverageAcquisitionPrice</b> <AvgAcqstnPric>	[0..1]	Amount	C1, C18	799
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	800



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		800
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	800
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		800
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		801
	<b>Transferor</b> <Trfr>	[0..1]	±		801
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		802
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		802
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		802
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		802
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		802
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		803
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		805
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		806
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		806
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		807
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltInChngOfBnfclOwnr>	[0..1]	Indicator		807
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		807
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		808

#### 40.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.2 TransferInstructionReference <TrfInstrRef>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.3 TransferCompletionIdentification <TrfCmpltnId>

*Presence:* [1..1]

*Definition:* Identification of the completion assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2837

**40.4.15.4 ActualTransferDate <ActlTrfDt>**

*Presence:* [0..1]

*Definition:* Date the portfolio transfer instruction was executed.

*Datatype:* "ISODate" on page 2822

**40.4.15.5 Portfolio <Prftl>**

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prtl>** contains one of the following **FundPortfolio7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]			762
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		764
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		764
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		765
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	765
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			765
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		766
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		766
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	766
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	766
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		766
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	767
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		767
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	767
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	767
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	768
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			768
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			769
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	769
	<b>Reason</b> <Rsn>	[0..1]			770
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	770
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		771
	<b>Reference</b> <Ref>	[0..1]	Text		771
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		771

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		771
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		771
	<b>TotalSubscriptionAmount</b> <TtlSbcptAmt>	[0..1]	Amount	C1, C18	772
	<b>OtherAmount</b> <OthrAmt>	[0..*]			772
	<b>Type</b> <Tp>	[1..1]	±		772
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	772
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		773
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			773
	<b>Type</b> <Tp>	[0..1]			773
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774
	<b>Reference</b> <Ref>	[1..1]	Text		774
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		774
	<b>InnovativeFinance</b> <InnvstvFinc>	[0..*]			774
	<b>Type</b> <Tp>	[1..1]	±		775
	<b>Information</b> <Inf>	[1..1]	Text		775
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	775
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	775
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	776
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	776
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		776
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		777
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		777
Or}	<b>Pension</b> <Pnsn>	[1..1]		C10, C11, C36, C37, C38, C39, C44, C45, C48	777
	<b>Identification</b> <Id>	[0..1]			780
	<b>Identifier</b> <Idr>	[1..1]	Text		781
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		781

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		781
	<b>Type</b> <Tp>	[1..1]			781
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		781
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		782
	<b>TransferScope</b> <TrfScp>	[0..1]	±		783
	<b>TaxReference</b> <TaxRef>	[0..*]	±		783
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchld>	[0..1]	Text		783
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		783
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		784
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		784
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		784
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		784
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		785
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrctn>	[0..1]	Indicator		785
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		785
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		785
	<b>RetirementAgeProtection</b> <RtrmntAgePrctn>	[0..1]	Indicator		785
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		786
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		786
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		786
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		786
	<b>RingFencedDrawdownAssets</b> <RingFnCdDrwdwnAssts>	[0..1]	Indicator		786
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		787
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		787
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		787
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrctn>	[0..1]	Indicator		787
	<b>ClientLifetimeAllowanceProtection</b> <ClntLftmAllwncPrctn>	[0..1]	Indicator		787
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		788
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		788

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		788

#### 40.4.15.5.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct** <TaxEffcntPdct> contains the following **TaxEfficientProduct7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxEfficientProductType</b> <TaxEffcntPdctTp>	[1..1]	±		764
	<b>CurrentYear</b> <CurYr>	[0..1]	Indicator		764
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		765
	<b>PreviousYears</b> <PrvsYrs>	[0..1]		C43	765
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			765
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		766
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		766
	<b>PreviousYearSubscriptionAmount</b> <PrvsYrSbcptAmt>	[0..1]	Amount	C1	766
	<b>PreviousYearsSubscriptionAmount</b> <PrvsYrsSbcptAmt>	[0..1]	Amount	C1	766
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[0..1]	Date		766
	<b>CurrentYearSubscriptionDetails</b> <CurYrSbcptDtls>	[0..1]		C46	767
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		767
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	767
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	767
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	768
	<b>BonusOrWithdrawal</b> <BnsOrWdrwl>	[0..*]			768
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			769
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	769
	<b>Reason</b> <Rsn>	[0..1]			770
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	770
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		771
	<b>Reference</b> <Ref>	[0..1]	Text		771
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		771
	<b>WithdrawalForResidentialPurchaseProgress</b> <WdrwlForResdtlPurchsPrgrs>	[0..1]	Indicator		771
	<b>TransferorAlternateIdentification</b> <TrfrAltrnld>	[0..1]	Text		771

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalSubscriptionAmount</b> <TtSbcptAmt>	[0..1]	Amount	C1, C18	772
	<b>OtherAmount</b> <OthrAmt>	[0..*]			772
	<b>Type</b> <Tp>	[1..1]	±		772
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	772
	<b>DateFirstQualifyingAddition</b> <DtFrstQlfygAddtn>	[0..1]	Date		773
	<b>InvestorTaxReference</b> <InvstrTaxRef>	[0..1]			773
	<b>Type</b> <Tp>	[0..1]			773
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774
	<b>Reference</b> <Ref>	[1..1]	Text		774
	<b>InvestmentsToFollowValue</b> <InvstmtsToFlwVal>	[0..*]	±		774
	<b>InnovativeFinance</b> <Innvtfinc>	[0..*]			774
	<b>Type</b> <Tp>	[1..1]	±		775
	<b>Information</b> <Inf>	[1..1]	Text		775
	<b>LowestInvestedAmountCurrentYear</b> <LwstInvstdAmtCurYr>	[0..1]	Amount	C1	775
	<b>TaxCalculationBase</b> <TaxClctnBase>	[0..1]	Amount	C1	775
	<b>UnusedTaxDeduction</b> <UusdTaxDdctn>	[0..1]	Amount	C1	776
	<b>CurrentInvestmentAmount</b> <CurInvstmtAmt>	[0..1]	Amount	C1	776
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		776
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		777

#### 40.4.15.5.1.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1497 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		1497
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		1498

#### 40.4.15.5.1.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are included.



**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 40.4.15.5.1.3 CashComponentIndicator <CshCmpntInd>

**Presence:** [0..1]

**Definition:** Indicates whether, for the current year, the product contains a cash asset for transfer.

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 40.4.15.5.1.4 PreviousYears <PrvsYrs>

**Presence:** [0..1]

**Definition:** Investment plans issued during previous years.

**Impacted by:** [C43 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PreviousYears</b> <PrvsYrs>	[1..1]			765
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		766
	<b>CashComponentIndicator</b> <CshCmpntInd>	[0..1]	Indicator		766

#### Constraints

- **SpecificPreviousYearsGuideline**  
SpecificPreviousYears must not contain the current year.

#### 40.4.15.5.1.4.1 PreviousYears <PrvsYrs>

**Presence:** [1..1]

**Definition:** Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AllPreviousYears</b> <AllPrvsYrs>	[1..1]	Text		765
Or}	<b>SpecificPreviousYears</b> <SpfcPrvsYrs>	[1..*]	Year		766

#### 40.4.15.5.1.4.1.1 AllPreviousYears <AllPrvsYrs>

**Presence:** [1..1]

**Definition:** Selection of all investment plans.

*Datatype:* "PreviousAll" on page 2839

#### **40.4.15.5.1.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>**

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2839

#### **40.4.15.5.1.4.2 CashComponentIndicator <CshCmpntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### **40.4.15.5.1.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>**

*Presence:* [0..1]

*Definition:* Subscriptions from the previous subscription year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **40.4.15.5.1.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in all previous years.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### **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.

#### **40.4.15.5.1.7 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [0..1]

*Definition:* Date the investment plan started.

*Datatype:* "ISODate" on page 2822

#### 40.4.15.5.1.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>

*Presence:* [0..1]

*Definition:* Amounts already subscribed for the current year.

*Impacted by:* C46 "TotalAmountYearToDateRule"

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateOfFirstSubscription</b> <DtOfFrstSbcpt>	[1..1]	Date		767
	<b>EquityComponent</b> <EqtyCmpnt>	[0..1]	Amount	C1	767
	<b>CashComponent</b> <CshCmpnt>	[0..1]	Amount	C1	767
	<b>TotalAmountYearToDate</b> <TtlAmtYrToDt>	[1..1]	Amount	C1	768

#### Constraints

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

#### 40.4.15.5.1.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>

*Presence:* [1..1]

*Definition:* Date of the first subscription in the current year.

*Datatype:* "ISODate" on page 2822

#### 40.4.15.5.1.8.2 EquityComponent <EqtyCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into equities (not including dividends).

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 40.4.15.5.1.8.3 CashComponent <CshCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 40.4.15.5.1.8.4 TotalAmountYearToDate <TtlAmtYrToDt>

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 40.4.15.5.1.9 BonusOrWithdrawal <BnsOrWdrwl>

*Presence:* [0..\*]

*Definition:* Bonus paid out or withdrawn.

**BonusOrWithdrawal <BnsOrWdrwl>** contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TypeOfAmount</b> <TpOfAmt>	[1..1]			769
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769
	<b>Amount</b> <Amt>	[0..1]	Amount	C2	769
	<b>Reason</b> <Rsn>	[0..1]			770
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770
	<b>UnclaimedAmount</b> <UclmdAmt>	[0..1]	Amount	C2	770
	<b>Outstanding</b> <Outsdng>	[0..1]	Indicator		771
	<b>Reference</b> <Ref>	[0..1]	Text		771
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		771

**40.4.15.5.1.9.1 TypeOfAmount <TpOfAmt>***Presence:* [1..1]*Definition:* Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.**TypeOfAmount <TpOfAmt>** contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		769
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		769

**40.4.15.5.1.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "TaxWrapperAmountType1Code" on page 2811

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

**40.4.15.5.1.9.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**40.4.15.5.1.9.2 Amount <Amt>***Presence:* [0..1]*Definition:* Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.*Impacted by:* C2 "ActiveOrHistoricCurrency"*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**40.4.15.5.1.9.3 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the bonus amount paid to or an amount withdrawn from the investment product.

**Reason <Rsn>** contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		770
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		770

**40.4.15.5.1.9.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a code.

*Datatype:* "PortfolioWithdrawalReason1Code" on page 2777

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

**40.4.15.5.1.9.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**40.4.15.5.1.9.4 UnclaimedAmount <UclmdAmt>**

*Presence:* [0..1]

*Definition:* Amount of an unclaimed bonus or an unclaimed withdrawal.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**40.4.15.5.1.9.5 Outstanding <Outsdng>**

*Presence:* [0..1]

*Definition:* Indicates whether there is an outstanding bonus or withdrawal amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**40.4.15.5.1.9.6 Reference <Ref>**

*Presence:* [0..1]

*Definition:* Identification of the withdrawal or bonus.

*Datatype:* ["Max35Text"](#) on page 2837

**40.4.15.5.1.9.7 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the monies paid out or withdrawn.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**40.4.15.5.1.10 WithdrawalForResidentialPurchaseProgress <WdrwlForResdntlPurchsPrgrs>**

*Presence:* [0..1]

*Definition:* Indicates if there is a related property purchase in progress at the point of transfer. May be applicable to products such as Lifetime Individual Savings Account (LISA) products.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**40.4.15.5.1.11 TransferorAlternateIdentification <TrfrAltrnld>**

*Presence:* [0..1]

*Definition:* Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

*Datatype:* ["Max35Text"](#) on page 2837

**40.4.15.5.1.12 TotalSubscriptionAmount <TtlSbcptAmt>***Presence:* [0..1]*Definition:* Total amount subscribed over the lifetime of the product.*Impacted by:* C1 "ActiveCurrency", C18 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**40.4.15.5.1.13 OtherAmount <OthrAmt>***Presence:* [0..\*]*Definition:* Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.**OtherAmount <OthrAmt>** contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	±		772
	<b>Amount</b> <Amt>	[1..1]	Amount	C1, C18	772

**40.4.15.5.1.13.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of amount.**Type <Tp>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**40.4.15.5.1.13.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C1 "ActiveCurrency", C18 "CurrencyAmount"



*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 40.4.15.5.1.14 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

*Presence:* [0..1]

*Definition:* Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

*Datatype:* "ISODate" on page 2822

#### 40.4.15.5.1.15 InvestorTaxReference <InvstrTaxRef>

*Presence:* [0..1]

*Definition:* Identification of the investor as assigned by a tax authority.

**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[0..1]			773
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774
	<b>Reference</b> <Ref>	[1..1]	Text		774

#### 40.4.15.5.1.15.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		773
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		774

#### 40.4.15.5.1.15.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.

*Datatype:* "PersonIdentificationType7Code" on page 2775

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 40.4.15.5.1.15.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 40.4.15.5.1.15.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.5.1.16 InvestmentsToFollowValue <InvstmtsToFlwVal>

*Presence:* [0..\*]

*Definition:* Value of the investments to follow.

**InvestmentsToFollowValue <InvstmtsToFlwVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 40.4.15.5.1.17 InnovativeFinance <Innvtfnc>

*Presence:* [0..\*]

*Definition:* Information about an innovative finance product.

**InnovativeFinance** <InnvFinc> contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	±		775
	<b>Information</b> <Inf>	[1..1]	Text		775

#### 40.4.15.5.1.17.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of innovative finance product.

**Type** <Tp> contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 40.4.15.5.1.17.2 Information <Inf>

*Presence:* [1..1]

*Definition:* Details of an innovative finance product.

*Datatype:* "[Max350Text](#)" on page 2837

#### 40.4.15.5.1.18 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

*Presence:* [0..1]

*Definition:* Lowest investment amount in the current year, used to calculate a tax deduction amount.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

##### 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.

#### 40.4.15.5.1.19 TaxCalculationBase <TaxClctnBase>

*Presence:* [0..1]

*Definition:* Amount of money from which the tax deduction is calculated.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

**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.

**40.4.15.5.1.20 UnusedTaxDeduction <UusdTaxDdctn>**

*Presence:* [0..1]

*Definition:* Unused tax deduction amount.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**40.4.15.5.1.21 CurrentInvestmentAmount <CurInvstmtAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**40.4.15.5.1.22 EstimatedValue <EstmtdVal>**

*Presence:* [0..1]

*Definition:* Estimated value of the assets of the tax efficient product to be transferred.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**40.4.15.5.1.23 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the tax efficient product.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**40.4.15.5.2 GeneralInvestment <GnlInvstmt>***Presence:* [1..1]*Definition:* Portfolio is a general investment.**GeneralInvestment <GnlInvstmt>** contains the following elements (see ["GeneralInvestment2"](#) on page 1503 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

**40.4.15.5.3 Pension <Pnsn>***Presence:* [1..1]*Definition:* Portfolio is a pension policy, plan or scheme.

*Impacted by:* [C10 "BlockTransferRetirementAgeProtectionRule"](#), [C11 "BlockTransferTaxFreeCashProtectionRule"](#), [C36 "PensionOrderTypeGuideline"](#), [C37 "RetirementAgeRule"](#), [C38 "RingFencedDrawdownAssets1Rule"](#), [C39 "RingFencedDrawdownAssets2Rule"](#), [C44 "TaxFreeCashAmountRule"](#), [C45 "TaxFreeCashAndValueRule"](#), [C48 "TransferScopeTrancheldentification1Rule"](#)

**Pension <Pnsn>** contains the following **Pension5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]			780
	<b>Identifier</b> <Idr>	[1..1]	Text		781
	<b>SubIdentifier</b> <SubIdr>	[0..1]	Text		781
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		781
	<b>Type</b> <Tp>	[1..1]			781
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		781
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		782
	<b>TransferScope</b> <TrfScp>	[0..1]	±		783
	<b>TaxReference</b> <TaxRef>	[0..*]	±		783
	<b>DrawdownTrancheIdentification</b> <DrwdwnTrchId>	[0..1]	Text		783
	<b>DrawdownStatus</b> <DrwdwnSts>	[0..1]	±		783
	<b>DrawdownType</b> <DrwdwnTp>	[0..1]	±		784
	<b>NumberOfDrawdownTranches</b> <NbOfDrwdwnTrnchs>	[0..1]	Quantity		784
	<b>EstimatedValue</b> <EstmtdVal>	[0..1]	±		784
	<b>BlockTransfer</b> <BlckTrf>	[0..1]	Indicator		784
	<b>BlockTransferReference</b> <BlckTrfRef>	[0..1]	Text		785
	<b>TaxFreeCashProtection</b> <TaxFreeCshPrtcn>	[0..1]	Indicator		785
	<b>TaxFreeCashAmount</b> <TaxFreeCshAmt>	[0..1]	±		785
	<b>ValueOfPensionPolicyOrPlanOrScheme</b> <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		785
	<b>RetirementAgeProtection</b> <RtrmntAgePrtcn>	[0..1]	Indicator		785
	<b>RetirementAge</b> <RtrmntAge>	[0..1]	Quantity		786
	<b>Sharing</b> <Shrg>	[0..1]	Indicator		786
	<b>LumpSumType</b> <LumpSumTp>	[0..*]	±		786
	<b>PensionOrder</b> <PnsnOrdr>	[0..*]	±		786
	<b>RingFencedDrawdownAssets</b> <RingFncdDrwdwnAssts>	[0..1]	Indicator		786
	<b>MoneyPurchaseAnnualAllowance</b> <MnyPurchsAnlAllwnc>	[0..1]	±		787
	<b>SafeguardBenefit</b> <SfgrdBnft>	[0..1]	Indicator		787
	<b>NonSafeguardedGuaranteedBenefits</b> <NonSfgrddGrntedBnfts>	[0..1]	Indicator		787
	<b>LifetimeAllowanceProtection</b> <LftmAllwncPrtcn>	[0..1]	Indicator		787

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ClientLifetimeAllowanceProtection</b> <ClnLftmAllwncPrctn>	[0..1]	Indicator		787
	<b>BenefitCrystallisationEventOccurred</b> <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		788
	<b>NonWrapperTransfer</b> <NonWrpprTrf>	[0..1]	Indicator		788
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		788

### Constraints

- **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/RetirementAgeProtection Must be absent

- **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/TaxFreeCashProtection Must be absent

- **PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

- **RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

On Condition

/RetirementAgeProtection is equal to value 'false'

Or /RetirementAgeProtection is equal to value '0'

Following Must be True

/RetirementAge Must be absent

- **RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

On Condition

/DrawdownStatus/Code is equal to value 'None'

Following Must be True  
 /RingFencedDrawdownAssets Must be absent

- **RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

On Condition  
 /DrawdownStatus/Code is equal to value 'Partial'  
 Or /DrawdownStatus/Code is equal to value 'Full'  
 Following Must be True  
 /RingFencedDrawdownAssets Must be present

- **TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'false'  
 Or /TaxFreeCashProtection is equal to value '0'  
 Following Must be True  
 /TaxFreeCashAmount Must be absent

- **TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition  
 /TaxFreeCashProtection is equal to value 'true'  
 Or /TaxFreeCashProtection is equal to value '1'  
 Following Must be True  
 /TaxFreeCashAmount Must be present  
 And /ValueOfPensionPolicyOrPlanOrScheme Must be present

- **TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition  
 /TransferScope/Code is different from value 'DrawdownTranche'  
 Following Must be True  
 /DrawdownTrancheIdentification Must be absent

#### 40.4.15.5.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.



**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identifier</b> <Idr>	[1..1]	Text		781
	<b>SubIdentifier</b> <Subldr>	[0..1]	Text		781
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	±		781

#### 40.4.15.5.3.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.5.3.1.2 SubIdentifier <Subldr>

*Presence:* [0..1]

*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.5.3.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the identification of the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 40.4.15.5.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionSchemeType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		781
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		782

#### 40.4.15.5.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionSchemeType3Code" on page 2774

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

#### 40.4.15.5.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 40.4.15.5.3.3 TransferScope <TrfScp>

*Presence:* [0..1]

*Definition:* Scope of the pension policy, plan or scheme transfer.

**TransferScope <TrfScp>** contains one of the following elements (see "[PensionTransferScope1Choice](#)" on page 1858 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

#### 40.4.15.5.3.4 TaxReference <TaxRef>

*Presence:* [0..\*]

*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "[TaxReference1](#)" on page 2582 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 40.4.15.5.3.5 DrawdownTrancheIdentification <DrwdwnTrchId>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "[Max35Text](#)" on page 2837

#### 40.4.15.5.3.6 DrawdownStatus <DrwdwnSts>

*Presence:* [0..1]

*Definition:* Drawdown status of the pension.

**DrawdownStatus <DrwdwnSts>** contains one of the following elements (see "[DrawdownStatus1Choice](#)" on page 2498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2499

#### 40.4.15.5.3.7 DrawdownType <DrwdwnTp>

*Presence:* [0..1]

*Definition:* Type of drawdown tranche.

**DrawdownType <DrwdwnTp>** contains one of the following elements (see "[DrawdownType2Choice](#)" on page 1842 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1842
Or}	Proprietary <Prtry>	[1..1]	±		1842

#### 40.4.15.5.3.8 NumberOfDrawdownTranches <NbOfDrwdwnTrnchs>

*Presence:* [0..1]

*Definition:* Number of drawdown tranches.

*Datatype:* "[Number](#)" on page 2834

#### 40.4.15.5.3.9 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the pension policy, plan or scheme.

**EstimatedValue <EstmtdVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 40.4.15.5.3.10 BlockTransfer <BlckTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer forms part of a block transfer.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**40.4.15.5.3.11 BlockTransferReference <BlckTrfRef>***Presence:* [0..1]*Definition:* When the transfer is part of a block transfer, reference to link several items.*Datatype:* "Max35Text" on page 2837**40.4.15.5.3.12 TaxFreeCashProtection <TaxFreeCshPrtn>***Presence:* [0..1]*Definition:* Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**40.4.15.5.3.13 TaxFreeCashAmount <TaxFreeCshAmt>***Presence:* [0..1]*Definition:* Amount of cash that is tax free.**TaxFreeCashAmount <TaxFreeCshAmt>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**40.4.15.5.3.14 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>***Presence:* [0..1]*Definition:* Value of the pension policy, plan or scheme.**ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**40.4.15.5.3.15 RetirementAgeProtection <RtrmntAgePrtn>***Presence:* [0..1]*Definition:* Indicates whether the pension policy, plan or scheme has retirement age protection.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**40.4.15.5.3.16 RetirementAge <RtrmntAge>***Presence:* [0..1]*Definition:* Age at which the pension policy, plan or scheme holder retires.*Datatype:* "DecimalNumber" on page 2834**40.4.15.5.3.17 Sharing <Shrg>***Presence:* [0..1]*Definition:* Indicates whether the pension benefits are shared.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**40.4.15.5.3.18 LumpSumType <LumpSumTp>***Presence:* [0..\*]*Definition:* Type of lump sum paid to a member of the pension policy, plan or scheme.**LumpSumType <LumpSumTp>** contains one of the following elements (see "LumpSumType1Choice" on page 1828 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1828
Or}	Proprietary <Prtry>	[1..1]	±		1829

**40.4.15.5.3.19 PensionOrder <PnsnOrdr>***Presence:* [0..\*]*Definition:* Order attached to the pension policy, plan or scheme.**PensionOrder <PnsnOrdr>** contains the following elements (see "PensionOrder1" on page 1776 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	AdditionalInformation <AddtlInf>	[0..*]	±		1777

**40.4.15.5.3.20 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>***Presence:* [0..1]*Definition:* Indicates whether assets held within the pension are ring-fenced into specific tranches.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 40.4.15.5.3.21 MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>

*Presence:* [0..1]

*Definition:* Money Purchase Annual Allowance (MPAA) details.

**MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>** contains the following elements (see "[MoneyPurchaseAnnualAllowance1](#)" on page 1789 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1789
	TriggeredDate <TrggrdDt>	[0..1]	Date		1790

#### 40.4.15.5.3.22 SafeguardBenefit <SfgrdBnft>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.23 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.24 LifetimeAllowanceProtection <LftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.25 ClientLifetimeAllowanceProtection <CIntLftmAllwncPrtn>

*Presence:* [0..1]

*Definition:* Indicates whether the client has any lifetime allowance protection.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.26 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

*Presence:* [0..1]

*Definition:* Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.27 NonWrapperTransfer <NonWrpprTrf>

*Presence:* [0..1]

*Definition:* Indicates that the transfer is only in relation to underlying assets, and that the wrapper transfer will occur separately.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 40.4.15.5.3.28 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 40.4.15.6 AllOtherCash <AllOthrCsh>

*Presence:* [0..\*]

*Definition:* Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

**AllOtherCash <AllOthrCsh>** contains the following elements (see "[AllOtherCash1](#)" on page 1918 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1918
	Currency <Ccy>	[0..1]	CodeSet	C1	1919



**40.4.15.7 CashAll <CshAll>***Presence:* [0..\*]*Definition:* Specifies whether all assets in the portfolio should be liquidated and transferred as cash.**CashAll <CshAll>** contains the following elements (see "[CashAll1](#)" on page 1924 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1924
	Currency <Ccy>	[0..1]	CodeSet	C1	1924

**40.4.15.8 ResidualCash <RsdICsh>***Presence:* [0..\*]*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with**ResidualCash <RsdICsh>** contains the following elements (see "[ResidualCash2](#)" on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1906
	Currency <Ccy>	[0..1]	CodeSet	C1	1907

**40.4.15.9 TaxDate <TaxDt>***Presence:* [0..1]*Definition:* Tax date applicable to all the assets.*Datatype:* "[ISODate](#)" on page 2822**40.4.15.10 PaymentDetails <PmtDtls>***Presence:* [0..1]*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument20" on page 2123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2125
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2125
	Debtor <Dbtr>	[0..1]	±		2128
	DebtorAccount <DbtrAcct>	[0..1]			2129
	Name <Nm>	[0..1]	Text		2129
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2129
	Other <Othr>	[0..1]	±		2129
	DebtorAgent <DbtrAgt>	[0..1]			2130
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2130
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2130
	NameAndAddress <NmAndAdr>	[0..1]	±		2131
	LEI <LEI>	[0..1]	IdentifierSet		2131
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2132
	BranchIdentification <BrnchId>	[0..1]	±		2132
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2132
	Name <Nm>	[0..1]	Text		2132
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2132
	Other <Othr>	[0..1]	±		2133
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2133
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2133
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2134
	NameAndAddress <NmAndAdr>	[0..1]	±		2135
	LEI <LEI>	[0..1]	IdentifierSet		2135
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2135
	BranchIdentification <BrnchId>	[0..1]	±		2135
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2135
	Name <Nm>	[0..1]	Text		2136
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2136
	Other <Othr>	[0..1]	±		2136
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2137

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2137
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2137
	NameAndAddress <NmAndAdr>	[0..1]	±		2138
	LEI <LEI>	[0..1]	IdentifierSet		2138
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2139
	BranchIdentification <BrnchId>	[0..1]	±		2139
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2139
	Name <Nm>	[0..1]	Text		2139
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2139
	Other <Othr>	[0..1]	±		2140
	CreditorAgent <CdtrAgt>	[1..1]			2140
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2140
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2141
	NameAndAddress <NmAndAdr>	[0..1]	±		2141
	LEI <LEI>	[0..1]	IdentifierSet		2142
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2142
	BranchIdentification <BrnchId>	[0..1]	±		2142
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2142
	Name <Nm>	[0..1]	Text		2143
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2143
	Other <Othr>	[0..1]	±		2143
	Creditor <Cdtr>	[0..1]	±		2143
	CreditorAccount <CdtrAcct>	[1..1]			2144
	Name <Nm>	[0..1]	Text		2144
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2144
	Other <Othr>	[0..1]	±		2144

#### 40.4.15.11 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset transferred.

*Impacted by:* C7 "AssetQuantity1Guideline", C8 "AssetQuantity2Guideline", C13 "Conversion1Rule", C14 "Conversion2Rule", C22 "EffectiveDatesGuideline"

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following **FinancialInstrument105** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LineIdentification</b> <LineId>	[0..1]	Text		793
	<b>Instrument</b> <Instrm>	[1..1]			793
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	794
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	794
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		795
	<b>Quantity</b> <Qty>	[0..1]	±		795
	<b>PartialInstructedQuantity</b> <PrtlInstdQty>	[0..1]	Indicator		795
	<b>OriginalPercentageInstructed</b> <OrgnlPctglnstd>	[0..1]	Rate		796
	<b>TransferType</b> <TrfTp>	[1..1]	±	C40	796
	<b>AdditionalAsset</b> <AddtlAsst>	[0..1]	Indicator		796
	<b>NotAvailable</b> <NotAvlbl>	[0..1]	Indicator		796
	<b>Conversion</b> <Convs>	[0..1]	±		797
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		797
	<b>ClientReference</b> <ClntRef>	[0..1]	±		798
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		799
	<b>BusinessFlowType</b> <BizFlowTp>	[0..1]	CodeSet		799
	<b>AverageAcquisitionPrice</b> <AvrgAcqstnPric>	[0..1]	Amount	C1, C18	799
	<b>TransferCurrency</b> <TrfCcy>	[0..1]	CodeSet	C2	800
	<b>TotalBookValue</b> <TtlBookVal>	[0..1]	±		800
	<b>OriginalCost</b> <OrgnlCost>	[0..1]	Amount	C1	800
	<b>LatestValuation</b> <LatstValtn>	[0..1]	±		800
	<b>TransfereeAccount</b> <TrfeeAcct>	[0..1]	±		801
	<b>Transferor</b> <Trfr>	[0..1]	±		801
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..*]	±		802
	<b>RequestedTradeDate</b> <ReqdTradDt>	[0..1]	Date		802
	<b>RequestedSettlementDate</b> <ReqdSttlmDt>	[0..1]	Date		802
	<b>EffectiveTransferDate</b> <FctvTrfDt>	[0..1]	±		802
	<b>EffectiveSettlementDate</b> <FctvSttlmDt>	[0..1]	±		802
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		803
	<b>CrystallisationDetails</b> <CrstllstnDtls>	[0..*]	±		805

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxValuationPoint</b> <TaxValtnPt>	[0..1]	±		806
	<b>SettlementPartiesDetails</b> <SttlmPtiesDtls>	[0..1]	±		806
	<b>AssetsHeldInOwnName</b> <AsstsHeldInOwnNm>	[0..1]	Indicator		807
	<b>TransferResultsInChangeOfBeneficialOwner</b> <TrfRsltsInChngOfBnfcIOwnr>	[0..1]	Indicator		807
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		807

#### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

#### 40.4.15.11.1 LineIdentification <Lineld>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2837

#### 40.4.15.11.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Security</b> <Scty>	[1..1]	±	C26	794
Or	<b>CashAsset</b> <CshAsst>	[1..1]	±	C24	794
Or}	<b>OtherAsset</b> <OthrAsst>	[1..1]	±		795

#### 40.4.15.11.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* [C26 "IdentificationGuideline"](#)

**Security <Scty>** contains the following elements (see ["FinancialInstrumentIdentification2"](#) on page 1527 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

#### Constraints

- **IdentificationGuideline**

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

#### 40.4.15.11.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

*Impacted by:* [C24 "HoldingTransferCurrencyGuideline"](#)

**CashAsset <CshAsst>** contains the following elements (see ["CashAsset3"](#) on page 1530 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

**Constraints**

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**40.4.15.11.2.3 OtherAsset <OthrAsst>**

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1525 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrlId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

**40.4.15.11.3 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Quantity of asset transferred or to be transferred.

**Quantity <Qty>** contains the following elements (see "Quantity50" on page 2382 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2382
	PercentageRate <PctgRate>	[0..1]	Rate		2382
	FaceAmount <FaceAmt>	[0..1]	Amount		2382
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2382
	CashAmount <CshAmt>	[0..1]	Amount	C1	2382
	OtherAsset <OthrAsst>	[0..1]	Text		2383

**40.4.15.11.4 PartialInstructedQuantity <PrtlInstQty>**

*Presence:* [0..1]

*Definition:* Indicates that the quantity of asset transferred is a partially instructed quantity.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 40.4.15.11.5 OriginalPercentageInstructed <OrgnPctgInstd>

*Presence:* [0..1]

*Definition:* Percentage rate of assets transferred, as originally instructed.

*Datatype:* "PercentageRate" on page 2835

#### 40.4.15.11.6 TransferType <TrfTp>

*Presence:* [1..1]

*Definition:* Specifies how the financial instrument were transferred.

*Impacted by:* C40 "SECUGuideline"

**TransferType <TrfTp>** contains one of the following elements (see "TransferType2Choice" on page 2691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2692
Or}	Proprietary <Prtry>	[1..1]	±		2692

#### Constraints

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### 40.4.15.11.7 AdditionalAsset <AddtlAsst>

*Presence:* [0..1]

*Definition:* Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 40.4.15.11.8 NotAvailable <NotAvlbl>

*Presence:* [0..1]

*Definition:* Indicates the asset is no longer available at the transferor party (ceding party).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):



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

#### 40.4.15.11.9 Conversion <Convs>

*Presence:* [0..1]

*Definition:* Security was converted from another security before transfer.

**Conversion <Convs>** contains the following elements (see "Conversion3" on page 1748 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OriginalSecurity <OrgnlScty>	[1..1]		C27	1749
	Identification <Id>	[1..1]	±		1749
	Name <Nm>	[0..1]	Text		1750
	ShortName <ShrtNm>	[0..1]	Text		1750
	AdditionalInformation <AddtlInf>	[0..*]	±		1750

#### 40.4.15.11.10 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

#### 40.4.15.11.11 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**40.4.15.11.12 CounterpartyReference <CtrPtyRef>***Presence:* [0..1]*Definition:* Unambiguous identification of the transfer allocated by the counterparty.**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**40.4.15.11.13 BusinessFlowType <BizFlowTp>***Presence:* [0..1]*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).*Datatype:* ["BusinessFlowType1Code"](#) on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**40.4.15.11.14 AverageAcquisitionPrice <AvrgAcqstnPric>***Presence:* [0..1]*Definition:* Average cost per share of the security, including all fees.*Impacted by:* [C1 "ActiveCurrency"](#), [C18 "CurrencyAmount"](#)*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704**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.

**40.4.15.11.15 TransferCurrency <TrfCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**40.4.15.11.16 TotalBookValue <TtlBookVal>**

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

**40.4.15.11.17 OriginalCost <OrgnlCost>**

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**40.4.15.11.18 LatestValuation <LatstValtn>**

*Presence:* [0..1]

*Definition:* Date and market value of the asset.

**LatestValuation <LatstValtn>** contains the following elements (see ["DateAndAmount2"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 40.4.15.11.19 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee received the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see ["Account28"](#) on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

#### 40.4.15.11.20 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivered the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see ["Account28"](#) on page 1700 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

**40.4.15.11.21 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

**40.4.15.11.22 RequestedTradeDate <ReqdTradDt>***Presence:* [0..1]*Definition:* Date that was requested as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**40.4.15.11.23 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date on which the securities were to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**40.4.15.11.24 EffectiveTransferDate <FctvTrfDt>***Presence:* [0..1]*Definition:* Date and time at which the transfer was executed.**EffectiveTransferDate <FctvTrfDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**40.4.15.11.25 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

#### 40.4.15.11.26 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument20" on page 2123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2125
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2125
	Debtor <Dbtr>	[0..1]	±		2128
	DebtorAccount <DbtrAcct>	[0..1]			2129
	Name <Nm>	[0..1]	Text		2129
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2129
	Other <Othr>	[0..1]	±		2129
	DebtorAgent <DbtrAgt>	[0..1]			2130
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2130
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2130
	NameAndAddress <NmAndAdr>	[0..1]	±		2131
	LEI <LEI>	[0..1]	IdentifierSet		2131
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2132
	BranchIdentification <BrnchId>	[0..1]	±		2132
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2132
	Name <Nm>	[0..1]	Text		2132
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2132
	Other <Othr>	[0..1]	±		2133
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2133
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2133
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2134
	NameAndAddress <NmAndAdr>	[0..1]	±		2135
	LEI <LEI>	[0..1]	IdentifierSet		2135
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2135
	BranchIdentification <BrnchId>	[0..1]	±		2135
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2135
	Name <Nm>	[0..1]	Text		2136
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2136
	Other <Othr>	[0..1]	±		2136
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2137



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2137
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2137
	NameAndAddress <NmAndAdr>	[0..1]	±		2138
	LEI <LEI>	[0..1]	IdentifierSet		2138
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2139
	BranchIdentification <BrnchId>	[0..1]	±		2139
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2139
	Name <Nm>	[0..1]	Text		2139
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2139
	Other <Othr>	[0..1]	±		2140
	CreditorAgent <CdtrAgt>	[1..1]			2140
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2140
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2141
	NameAndAddress <NmAndAdr>	[0..1]	±		2141
	LEI <LEI>	[0..1]	IdentifierSet		2142
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2142
	BranchIdentification <BrnchId>	[0..1]	±		2142
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2142
	Name <Nm>	[0..1]	Text		2143
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2143
	Other <Othr>	[0..1]	±		2143
	Creditor <Cdtr>	[0..1]	±		2143
	CreditorAccount <CdtrAcct>	[1..1]			2144
	Name <Nm>	[0..1]	Text		2144
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2144
	Other <Othr>	[0..1]	±		2144

#### 40.4.15.11.27 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "[Crystallisation2](#)" on page 1804 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1804
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1804
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1804
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C1	1804
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C1	1805
	AdditionalInformation <AddtlInf>	[0..*]	±		1805

#### 40.4.15.11.28 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "[Tax36](#)" on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1441
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441
	AdditionalInformation <AddtlInf>	[0..*]	±		1441

#### 40.4.15.11.29 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2678 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2678
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2678
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2679
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2679
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2679
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2681

#### 40.4.15.11.30 AssetsHeldInOwnName <AsstsHeldInOwnNm>

*Presence:* [0..1]

*Definition:* Indicates whether the assets are held in an individual's own name.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 40.4.15.11.31 TransferResultsInChangeOfBeneficialOwner <TrfRsItsInChngOfBnfclOwnr>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer resulted in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 40.4.15.11.32 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 40.4.15.12 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 40.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

#### 40.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C23 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 41      **setr.001.001.04**

## **RedemptionBulkOrderV04**

### 41.1    **MessageDefinition Functionality**

#### Scope

The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.

#### Usage

The RedemptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. The RedemptionBulkOrder can result in one single bulk cash settlement or several individual cash settlements.

This message will be typically used by a party collecting orders, that is, a concentrator, bulking these individual orders into one bulk order before sending it to an executing party.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for different financial instruments but for the same account, then the RedemptionOrder must be used.

#### Outline

The RedemptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. BulkOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

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

## 41.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrd>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		815
	<b>PoolReference</b> <PoolRef>	[0..1]	±		815
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		816
	<b>BulkOrderDetails</b> <BlkOrdDtls>	[1..1]		C7, C27, C29	816
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		818
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		819
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		819
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		819
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		819
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		819
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	820
	<b>IndividualOrderDetails</b> <IndvOrdDtls>	[1..*]		C21, C23, C24	820
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		822
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		822
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	822
	<b>OrderType</b> <OrdTp>	[0..10]	±		823
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	823
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			824
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		824
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	824
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	825
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		825
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		825
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	826
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		826
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		826
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		827

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		827
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		827
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	828
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		828
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	828
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		829
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		830
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		832
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		832
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		832
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		833
	<b>StaffClientBreakdown</b> <StffClntBrkwn>	[0..4]	±		834
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		834
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		834
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	834
	<b>Equalisation</b> <Equlstn>	[0..1]	±		835
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		835
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		835
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		836
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	836
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	836
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	837
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	837
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		837
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		839
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	839

## 41.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.



**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

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

**C6 BICFI**

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

**C7 BulkCashSettlementDetailsRule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 41.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 41.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 41.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

### 41.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

### 41.4.4 BulkOrderDetails <BlkOrdDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C27 "RequestedSettlementCurrencyRule"](#), [C29 "SettlementCurrencyRule"](#)

**BulkOrderDetails <BlkOrdrDtls>** contains the following **RedemptionBulkOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		818
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		819
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		819
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		819
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		819
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		819
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	820
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C21, C23, C24	820
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		822
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		822
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	822
	<b>OrderType</b> <OrdrTp>	[0..10]	±		823
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	823
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			824
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		824
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	824
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	825
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		825
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		825
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	826
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		826
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		826
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		827
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		827
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		827
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	828
	<b>CommercialAgreementReference</b> <ComrcIAgmtRef>	[0..1]	Text		828
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	828

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		829
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		830
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		832
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		832
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		832
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		833
	<b>StaffClientBreakdown</b> <StffCIntBrkdown>	[0..4]	±		834
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		834
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		834
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	834
	<b>Equalisation</b> <Equlstn>	[0..1]	±		835
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		835
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		835
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		836
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	836
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	836
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	837
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	837
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		837

#### Constraints

- **BulkCashSettlementDetailsRule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 41.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

#### 41.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

#### 41.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 41.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 41.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 41.4.4.6 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see ["CancellationRight1Choice"](#) on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 41.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* [C18 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see ["FinancialInstrument57"](#) on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 41.4.4.8 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Instruction from an investor to sell investment fund units back to the fund.

*Impacted by:* [C21 "OrderOriginatorEligibility3Rule"](#), [C23 "PhysicalDeliveryDetails1Rule"](#), [C24 "PhysicalDeliveryDetails2Rule"](#)



**IndividualOrderDetails** <IndvOrdrDtls> contains the following **RedemptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		822
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		822
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	822
	<b>OrderType</b> <OrdrTp>	[0..10]	±		823
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	823
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			824
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		824
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	824
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	825
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		825
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		825
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	826
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		826
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		826
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		827
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		827
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		827
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	828
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		828
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	828
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		829
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		830
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		832
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		832
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		832
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		833
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		834
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		834
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		834
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	834

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Equalisation</b> <Equlstn>	[0..1]	±		835
	<b>CustomerConductClassification</b> <CstmrCndctClsfctn>	[0..1]	±		835
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		835
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		836
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	836

### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 41.4.4.8.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 41.4.4.8.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 41.4.4.8.3 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 41.4.4.8.4 OrderType <OrdrTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 41.4.4.8.5 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson32" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrlId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </ssr>	[0..1]	Text		2301

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 41.4.4.8.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units or percentage to be redeemed for the redemption order.

**AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>** contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		824
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	824
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	825
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		825

##### 41.4.4.8.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "DecimalNumber" on page 2834

##### 41.4.4.8.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 41.4.4.8.6.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 41.4.4.8.6.4 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2835

#### 41.4.4.8.7 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 41.4.4.8.8 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 41.4.4.8.9 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 41.4.4.8.10 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**41.4.4.8.11 ForeignExchangeDetails <FXDtIs>***Presence:* [0..1]*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1553 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

**41.4.4.8.12 IncomePreference <IncmPref>***Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

**41.4.4.8.13 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 41.4.4.8.14 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		828
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	828
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		829

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 41.4.4.8.14.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

#### 41.4.4.8.14.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"



**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 41.4.4.8.14.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 41.4.4.8.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2420 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 41.4.4.8.16 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 41.4.4.8.17 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 41.4.4.8.18 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### 41.4.4.8.19 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 41.4.4.8.20 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 41.4.4.8.21 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 41.4.4.8.22 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 41.4.4.8.23 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

Impacted by: C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 41.4.4.8.24 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 41.4.4.8.25 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 41.4.4.8.26 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 41.4.4.8.27 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 41.4.4.8.28 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C32 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 41.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711



**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.

**41.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**41.4.4.11 TotalSettlementAmount <TtlSttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**41.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <Acctld>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

## 41.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 41.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 42 setr.002.001.04 RedemptionBulkOrderCancellationRequestV04

## 42.1 MessageDefinition Functionality

### Scope

The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.

### Usage

The RedemptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionBulkOrder message is specified in the order reference element. The message identification of the RedemptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

### Outline

The RedemptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

#### E. OrderReferences

Identification of the individual order to be cancelled.

#### F. CopyDetails

Information provided when the message is a copy of a previous message.

## 42.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <RedBlkOrdxCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		841
	<b>PoolReference</b> <PoolRef>	[0..1]	±		842
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		842
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		842
	<b>OrderReferences</b> <OrdRefs>	[1..*]			842
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		843
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		843
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		843
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		843
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		843

## 42.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 42.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 42.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 42.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 42.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 42.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "[Max35Text](#)" on page 2837

## 42.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		843
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		843
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		843
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		843

#### 42.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 42.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 42.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 42.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

### 42.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C5	1898



# 43 setr.003.001.04 RedemptionBulkOrderConfirmationV04

## 43.1 MessageDefinition Functionality

### Scope

The RedemptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionBulkOrder message.

### Usage

The RedemptionBulkOrderConfirmation message is used to confirm the execution of all individual orders included in a previously sent RedemptionBulkOrder message.

There is usually one bulk confirmation message for one bulk order message.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the RedemptionBulkOrder message in which the individual order was conveyed may also be quoted in RelatedReference, but this is not recommended.

A RedemptionBulkOrder must in all cases be responded to by a RedemptionBulkOrderConfirmation and in no circumstances by a RedemptionOrderConfirmation.

If the executing party needs to confirm a RedemptionOrder instruction, then the RedemptionOrderConfirmation must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

### Outline

The RedemptionBulkOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BulkExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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

## 43.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdRConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		852
	<b>PoolReference</b> <PoolRef>	[0..1]	±		852
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		852
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		853
	<b>BulkExecutionDetails</b> <BlkExctnDtls>	[1..1]		C8, C29, C31	853
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		856
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		856
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		856
	<b>OrderDateTime</b> <OrdRdtTm>	[0..1]	DateTime		857
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		857
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		857
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		857
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	857
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	858
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		861
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		861
	<b>DealReference</b> <DealRef>	[1..1]	Text		861
	<b>OrderType</b> <OrdRtp>	[0..10]	±		861
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	861
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		862
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		862
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	862
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	863
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		863
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	863
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		864
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	864

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		865
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		865
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		865
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		865
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		866
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		866
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		866
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		867
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		867
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		868
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		868
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	868
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	869
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	869
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	870
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		870
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	870
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		871
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	872
	<b>StaffClientBreakdown</b> <StffClnBrkdw>	[0..4]	±		874
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		874
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		876
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		876
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		876
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		877
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		878
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		878
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	878
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		878
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		879
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		879

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	879
	<b>Equalisation</b> <Equlstrn>	[0..1]	±		880
	<b>CustomerConductClassification</b> <CstmrCndctClsfctn>	[0..1]	±		880
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		880
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		880
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	881
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		881
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	882
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	882
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	882
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		883
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		885
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	885

## 43.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AnyBIC

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

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

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

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of BulkExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C32 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C33 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C34 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 43.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 43.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 43.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

### 43.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.



**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 43.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 43.4.5 BulkExecutionDetails <BlkExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C29 "RequestedSettlementCurrencyRule", C31 "SettlementCurrencyRule"

**BulkExecutionDetails <BlkExctnDtls>** contains the following **RedemptionBulkExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		856
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		856
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		856
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		857
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		857
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		857
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		857
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	857
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	858
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		861
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		861
	<b>DealReference</b> <DealRef>	[1..1]	Text		861
	<b>OrderType</b> <OrdrTp>	[0..10]	±		861
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	861
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		862
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		862
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	862
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	863
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		863
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	863
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		864
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	864
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		865
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		865
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		865
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		865
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		866
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		866
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		866

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		867
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		867
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		868
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		868
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	868
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	869
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	869
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	870
	<b>CommercialAgreementReference</b> <ComrcIAgmtRef>	[0..1]	Text		870
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	870
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		871
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	872
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		874
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		874
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		876
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		876
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		876
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		877
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		878
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		878
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	878
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		878
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		879
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		879
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	879
	<b>Equalisation</b> <Equlstn>	[0..1]	±		880
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		880
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		880
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		880

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C34	881
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		881
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	882
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	882
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	882
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		883

**Constraints**

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**43.4.5.1 AmendmentIndicator <AmdmntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**43.4.5.2 MasterReference <MstrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* ["Max35Text"](#) on page 2837

**43.4.5.3 PlaceOfTrade <PlcOfTrad>**

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

#### 43.4.5.4 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 43.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2822

#### 43.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 43.4.5.7 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 43.4.5.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the investment fund order execution is related.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </d>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <Splmtryld>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <Srsld>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 43.4.5.9 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a redemption order.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule"

**IndividualExecutionDetails <IndvExctnDtls>** contains the following **RedemptionExecution16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		861
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		861
	<b>DealReference</b> <DealRef>	[1..1]	Text		861
	<b>OrderType</b> <OrdTp>	[0..10]	±		861
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	861
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		862
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		862
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	862
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	863
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		863
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	863
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		864
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	864
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		865
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		865
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		865
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		865
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		866
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		866
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		866
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		867
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		867
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		868
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		868
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	868
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	869
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	869
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	870
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		870
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	870

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		871
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	872
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		874
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		874
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		876
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		876
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		876
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		877
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		878
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		878
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	878
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		878
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		879
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		879
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	879
	<b>Equalisation</b> <Equlstr>	[0..1]	±		880
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		880
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		880
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		880
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C34	881
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		881

**Constraints**

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.



```

On Condition
  /PhysicalDeliveryIndicator is equal to value 'true'
Or
  /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
  /PhysicalDeliveryDetails Must be present

```

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

#### 43.4.5.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 43.4.5.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 43.4.5.9.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 43.4.5.9.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 43.4.5.9.5 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtIs>** contains the following elements (see "IndividualPerson32" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </Issr>	[0..1]	Text		2301

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 43.4.5.9.6 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment funds units redeemed.

*Datatype:* "DecimalNumber" on page 2834

#### 43.4.5.9.7 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 43.4.5.9.8 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**43.4.5.9.9 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**43.4.5.9.10 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2835

**43.4.5.9.11 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 43.4.5.9.12 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 43.4.5.9.13 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

**43.4.5.9.14 CashSettlementDate <CshSttlmDt>***Presence:* [0..1]*Definition:* Date on which cash is available.*Datatype:* "ISODate" on page 2822**43.4.5.9.15 SettlementMethod <SttlmMtd>***Presence:* [0..1]*Definition:* Method by which the transaction is settled.*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**43.4.5.9.16 DealingPriceDetails <DealgPricDtls>***Presence:* [1..1]*Definition:* Price at which the order was executed.**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

**43.4.5.9.17 InformativePriceDetails <InftvPricDtls>***Presence:* [0..2]*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 43.4.5.9.18 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 43.4.5.9.19 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2713

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 43.4.5.9.20 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**43.4.5.9.21 InterimProfitAmount <IntrmPrftAmt>***Presence:* [0..1]*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

**43.4.5.9.22 ForeignExchangeDetails <FXDtIs>***Presence:* [0..\*]*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms33](#)" on page 1549 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1549
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1549
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1550
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1550
	ExchangeRate <XchgRate>	[1..1]	Rate		1550
	QuotationDate <QtnDt>	[0..1]	DateTime		1551
	QuotingInstitution <QtgInstn>	[0..1]	±		1551

#### 43.4.5.9.23 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 43.4.5.9.24 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "[UKTaxGroupUnit1Code](#)" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 43.4.5.9.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLARReferenceRule"](#), [C33 "TransactionOverheadElementRule"](#)



**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	869
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	869
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	870
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		870
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	870
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		871

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 43.4.5.9.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 43.4.5.9.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**43.4.5.9.25.3 TotalTaxes <TtITaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**43.4.5.9.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**43.4.5.9.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1397
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399
	Basis <Bsis>	[0..1]			1399
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1400
	StandardRate <StdRate>	[0..1]	Rate		1400
	DiscountDetails <DscntDtls>	[0..1]		C18	1400
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1403
	AppliedRate <ApldRate>	[0..1]	Rate		1403
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1403
	RecipientIdentification <RcptId>	[0..1]	±		1403
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1403

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 43.4.5.9.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2565
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2567
	AppliedRate <ApldRate>	[0..1]	Rate		2568
	Country <Ctry>	[0..1]	CodeSet	C12	2568
	RecipientIdentification <RcptId>	[0..1]	±		2568
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2568
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

#### 43.4.5.9.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2603
	EUCapitalGain <EUCptlGn>	[0..1]			2604
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604
	EUDividendStatus <EUDvddSts>	[0..1]			2605
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2606
	IndividualTax <IndvTax>	[0..*]			2606
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <Rcptld>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**43.4.5.9.27 StaffClientBreakdown <StffCIntBrkdwn>**

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "[InvestmentFundsOrderBreakdown2](#)" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

**43.4.5.9.28 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2431 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 43.4.5.9.29 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 43.4.5.9.30 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 43.4.5.9.31 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.



**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### 43.4.5.9.32 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 43.4.5.9.33 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 43.4.5.9.34 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 43.4.5.9.35 PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>

*Presence:* [0..1]

*Definition:* Amount retained by the fund and paid out later at a time decided by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 43.4.5.9.36 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**43.4.5.9.37 NegotiatedTrade <NgtdTrad>***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**43.4.5.9.38 LateReport <LateRpt>***Presence:* [0..1]*Definition:* Specifies whether the order execution confirmation is late.*Datatype:* "LateReport1Code" on page 2762

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**43.4.5.9.39 RelatedPartyDetails <RltdPtyDtls>***Presence:* [0..10]*Definition:* Party related to the transaction.*Impacted by:* C19 "OrderOriginatorEligibility1Rule"**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 2031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2031
	Account <Acct>	[0..1]			2032
	Identification <Id>	[1..1]	Text		2032
	AccountServicer <AcctSvcr>	[0..1]	±		2032
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2032
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2033
	Role <Role>	[0..1]	±		2033

**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**43.4.5.9.40 Equalisation <Equlstn>**

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

**Equalisation <Equlstn>** contains the following elements (see "[Equalisation1](#)" on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

**43.4.5.9.41 CustomerConductClassification <CstmrCndctClssfctn>**

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

**43.4.5.9.42 TransactionChannelType <TxChanITp>**

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

**43.4.5.9.43 SignatureType <SgntrTp>**

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 43.4.5.9.44 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C34 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 43.4.5.9.45 GatingOrHoldBackDetails <GtgOrHldBckDtls>

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see "HoldBackInformation2" on page 1829 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1829
	Amount <Amt>	[0..1]	Amount	C1, C13	1829
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1830
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1830
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1831
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1831
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1832

#### 43.4.5.10 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 43.4.5.11 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 43.4.5.12 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### **43.4.5.13 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <Acctld>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280



## 43.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 43.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 44      **setr.004.001.04**

## **RedemptionOrderV04**

### 44.1    **MessageDefinition Functionality**

#### Scope

The RedemptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.

#### Usage

The RedemptionOrder message is used to instruct single redemption orders, that is, a message containing one order for one financial instrument and related to one investment account. The RedemptionOrder message may also be used for multiple orders, that is, a message containing several orders related to the same investment account for different financial instruments.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the RedemptionBulkOrder message must be used.

#### Outline

The RedemptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MultipleOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

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

## 44.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrd>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		891
	<b>PoolReference</b> <PoolRef>	[0..1]	±		892
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		892
	<b>MultipleOrderDetails</b> <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	892
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		895
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		895
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		895
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		895
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		895
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		896
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	896
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	896
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	897
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		899
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		899
	<b>OrderType</b> <OrdrTp>	[0..10]	±		900
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	900
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		901
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			901
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		901
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	901
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	902
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		902
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		902
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	903
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		903
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		903

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		903
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		904
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		904
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	905
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		905
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	905
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		906
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		907
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		909
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		909
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	909
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	909
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		910
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		911
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		912
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		912
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		912
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	912
	<b>Equalisation</b> <Equlstn>	[0..1]	±		913
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		913
	<b>TransactionChannelType</b> <TxChanTp>	[0..1]	±		913
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		914
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C33	914
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		914
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	915
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		916
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	916

## 44.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

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

**C6 BICFI**

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

**C7 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C33 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 44.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 44.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 44.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 44.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 44.4.4 MultipleOrderDetails <MltplOrdrDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#), [C29 "SettlementCurrencyRule"](#), [C32 "TotalSettlementCurrencyRule"](#)



**MultipleOrderDetails <MltplOrdrDtls>** contains the following **RedemptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		895
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		895
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		895
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		895
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		895
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		896
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	896
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	896
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	897
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		899
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		899
	<b>OrderType</b> <OrdrTp>	[0..10]	±		900
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	900
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		901
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			901
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		901
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	901
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	902
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		902
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		902
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	903
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		903
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		903
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		903
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		904
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		904
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	905
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		905

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	905
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		906
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		907
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		909
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		909
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	909
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	909
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		910
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		911
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		912
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		912
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		912
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	912
	<b>Equalisation</b> <Equlstn>	[0..1]	±		913
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		913
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		913
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		914
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	914
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		914
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	915

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 44.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

#### 44.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

#### 44.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 44.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 44.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 44.4.4.6 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "[CancellationRight1Choice](#)" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 44.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* [C20 "OrderOriginatorEligibility2Rule"](#)

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "[InvestmentAccount58](#)" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 44.4.4.8 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* [C22 "PersonElementRule"](#)

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson32" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrlId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </ssr>	[0..1]	Text		2301

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 44.4.4.9 IndividualOrderDetails <IndvOrdDrDtls>

*Presence:* [1..\*]

*Definition:* Instruction from an investor to sell investment fund units back to the fund.

*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule", C27 "RequestedSettlementCurrencyRule"

**IndividualOrderDetails <IndvOrdrDtls>** contains the following **RedemptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		899
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		899
	<b>OrderType</b> <OrdrTp>	[0..10]	±		900
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	900
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		901
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			901
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		901
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	901
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	902
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		902
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		902
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	903
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		903
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		903
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		903
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		904
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		904
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	905
	<b>CommercialAgreementReference</b> <ComrclAgrmtRef>	[0..1]	Text		905
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	905
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		906
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		907
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		909
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		909
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	909
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	909
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		910
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		911
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		912
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		912

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		912
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	912
	<b>Equalisation</b> <Equlstn>	[0..1]	±		913
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		913
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		913
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		914
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C33	914

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/

attribute::Currency

#### 44.4.4.9.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 44.4.4.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 44.4.4.9.3 OrderType <OrdrTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 44.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* C18 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.



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

#### 44.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

*Presence:* [0..1]

*Definition:* Subdivision of the account used to segregate specific holdings.

**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "[SubAccount6](#)" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

#### 44.4.4.9.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units or percentage to be redeemed for the redemption order.

**AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>** contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		901
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	901
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	902
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		902

##### 44.4.4.9.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "[DecimalNumber](#)" on page 2834

##### 44.4.4.9.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**44.4.4.9.6.3 NetAmount <NetAmt>**

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**44.4.4.9.6.4 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2835

**44.4.4.9.7 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**44.4.4.9.8 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**44.4.4.9.9 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

**44.4.4.9.10 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**44.4.4.9.11 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1553 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

**44.4.4.9.12 IncomePreference <IncmPref>***Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

**44.4.4.9.13 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.

CodeName	Name	Definition
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 44.4.4.9.14 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		905
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	905
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		906

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 44.4.4.9.14.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

#### 44.4.4.9.14.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 44.4.4.9.14.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 44.4.4.9.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2420 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 44.4.4.9.16 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 44.4.4.9.17 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 44.4.4.9.18 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 44.4.4.9.19 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **44.4.4.9.20 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### 44.4.4.9.21 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 44.4.4.9.22 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 44.4.4.9.23 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 44.4.4.9.24 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 44.4.4.9.25 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

Impacted by: C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 44.4.4.9.26 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 44.4.4.9.27 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 44.4.4.9.28 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 44.4.4.9.29 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 44.4.4.9.30 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C33 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 44.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtIs>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 2271 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### 44.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

## 44.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 44.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 45 setr.005.001.04 RedemptionOrderCancellationRequestV04

## 45.1 MessageDefinition Functionality

### Scope

The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.

### Usage

The RedemptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionOrder message in the order reference element. The message identification of the RedemptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

### Outline

The RedemptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

#### E. OrderReferences

Identification of the individual order to be cancelled.

#### F. CopyDetails

Information provided when the message is a copy of a previous message.

## 45.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdrCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		918
	<b>PoolReference</b> <PoolRef>	[0..1]	±		919
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		919
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		919
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			919
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		920
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		920
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		920
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		920
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		920

## 45.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 45.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 45.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on [page 1571](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 45.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 45.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 45.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 45.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		920
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		920
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		920
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		920

**45.4.5.1 OrderReference <OrdRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**45.4.5.2 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**45.4.5.3 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**45.4.5.4 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

**45.4.6 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

# 46 setr.006.001.05 RedemptionOrderConfirmationV05

## 46.1 MessageDefinition Functionality

### Scope

The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.

### Usage

The RedemptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A RedemptionOrder message containing more than one individual order may be responded to by more than one RedemptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a RedemptionOrderConfirmation message contains fewer confirmations than originally instructed in the original RedemptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the RedemptionOrder message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

A RedemptionOrder must in all cases be responded to by a RedemptionOrderConfirmation message and in no circumstances by a RedemptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more redemption orders for the same financial instrument then a RedemptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

### Outline

The RedemptionOrderConfirmationV05 MessageDefinition is composed of 7 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.

E. MultipleExecutionDetails

General information related to the execution of investment fund orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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

## 46.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		928
	<b>PoolReference</b> <PoolRef>	[0..1]	±		928
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		929
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		929
	<b>MultipleExecutionDetails</b> <MltplExctnDtls>	[1..1]		C8, C21, C33, C35	929
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		932
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		932
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		933
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		933
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		933
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		933
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		933
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	934
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	934
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C31	935
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		938
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		938
	<b>DealReference</b> <DealRef>	[1..1]	Text		938
	<b>OrderType</b> <OrdrTp>	[0..10]	±		938
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	939
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		939
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		940
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		940
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	940
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	940
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		941

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		941
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		941
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		942
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	942
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		943
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		943
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		943
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		943
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		944
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		944
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		944
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		945
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		945
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C36	945
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	946
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	946
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	947
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		947
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	947
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		948
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C34	949
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		951
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		953
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		953
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	953
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	953
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		954
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		955
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		956
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		956
	<b>StaffClientBreakdown</b> <StffClntrBrkwn>	[0..4]	±		956



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	956
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		957
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		957
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		957
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	957
	<b>Equalisation</b> <Equlstr>	[0..1]	±	C29, C30	958
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		959
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		960
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		960
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C37	960
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		961
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	961
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		961
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		963
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	963

## 46.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

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

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RedemptionEqualisationMethodologyTypes1Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

**C30 RedemptionEqualisationMethodologyTypes2Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

**C31 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C32 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C33 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C34 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C35 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

**C36 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C37 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 46.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 46.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 46.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 46.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 46.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 46.4.5 MultipleExecutionDetails <MltplExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of investment fund orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C21 "OrderOriginatorEligibility3Rule", C33 "SettlementCurrencyRule", C35 "TotalSettlementCurrencyRule"

**MultipleExecutionDetails** <MltplExctnDtls> contains the following **RedemptionMultipleExecution6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		932
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		932
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		933
	<b>OrderDateTime</b> <OrdrtDtTm>	[0..1]	DateTime		933
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		933
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		933
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		933
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	934
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	934
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C31	935
	<b>OrderReference</b> <OrdrtRef>	[1..1]	Text		938
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		938
	<b>DealReference</b> <DealRef>	[1..1]	Text		938
	<b>OrderType</b> <OrdrtTp>	[0..10]	±		938
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	939
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		939
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		940
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		940
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	940
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	940
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		941
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		941
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		941
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		942
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	942
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		943
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		943
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		943
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		943

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		944
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		944
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		944
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		945
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		945
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C36	945
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	946
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	946
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	947
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		947
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	947
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		948
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C34	949
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		951
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		953
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		953
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	953
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	953
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		954
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		955
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		956
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		956
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		956
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	956
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		957
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		957
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		957
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	957
	<b>Equalisation</b> <Equlstn>	[0..1]	±	C29, C30	958

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		959
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		960
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		960
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C37	960
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		961
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	961
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		961

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

#### 46.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 46.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "[Max35Text](#)" on page 2837



#### 46.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification4Choice" on page 1860 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1860
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1861
Or	Party <Pty>	[1..1]	IdentifierSet	C4	1861
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1861

#### 46.4.5.4 OrderDateTime <OrdDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 46.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2822

#### 46.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 46.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 46.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount78" on page 1651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1651
	AccountName <AcctNm>	[0..1]	Text		1652
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1652
	OwnerIdentification <OwnrId>	[0..*]	±		1652
	AccountServicer <AcctSvcr>	[0..1]	±		1652
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1652
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1653

##### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 46.4.5.9 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtIs>** contains the following elements (see "IndividualPerson32" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </ssr>	[0..1]	Text		2301

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 46.4.5.10 IndividualExecutionDetails <IndvExctnDtIs>

*Presence:* [1..\*]

*Definition:* Execution of a redemption order.

*Impacted by:* C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule", C31 "RequestedSettlementCurrencyRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **RedemptionExecution17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		938
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		938
	<b>DealReference</b> <DealRef>	[1..1]	Text		938
	<b>OrderType</b> <OrdrTp>	[0..10]	±		938
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	939
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		939
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		940
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		940
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	940
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	940
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		941
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		941
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		941
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		942
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	942
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		943
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		943
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		943
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		943
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		944
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		944
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		944
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		945
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		945
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C36	945
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	946
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	946
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	947
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		947
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	947

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		948
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C34	949
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		951
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		953
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		953
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	953
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	953
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		954
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		955
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		956
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		956
	<b>StaffClientBreakdown</b> <StffClntrBrkdown>	[0..4]	±		956
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	956
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		957
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		957
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		957
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	957
	<b>Equalisation</b> <Equlstn>	[0..1]	±	C29, C30	958
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		959
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		960
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		960
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C37	960
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		961

### Constraints

#### • PhysicalDeliveryDetails1Rule

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

#### • PhysicalDeliveryDetails2Rule

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

```

On Condition
  /PhysicalDeliveryIndicator is equal to value 'true'
Or
  /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
  /PhysicalDeliveryDetails Must be present

```

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

```

On Condition
  /RequestedSettlementCurrency is present
And
  /SettlementAmount is present
Following Must be True
  /RequestedSettlementCurrency Must be equal to /SettlementAmount/
attribute::Currency

```

#### 46.4.5.10.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 46.4.5.10.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 46.4.5.10.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 46.4.5.10.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

**46.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>***Presence:* [1..1]*Definition:* Investment fund class to which the investment fund order execution is related.*Impacted by:* C17 "IdentificationGuideline"**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**46.4.5.10.6 SubAccountForHolding <SubAcctForHldg>***Presence:* [0..1]*Definition:* Subdivision of the account used to segregate specific holdings.**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "SubAccount6" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

**46.4.5.10.7 UnitsNumber <UnitsNb>***Presence:* [1..1]*Definition:* Number of investment funds units redeemed.*Datatype:* "DecimalNumber" on page 2834**46.4.5.10.8 Rounding <Rndg>***Presence:* [0..1]*Definition:* Indicates the rounding direction applied to nearest unit.*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**46.4.5.10.9 NetAmount <NetAmt>***Presence:* [0..1]*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**46.4.5.10.10 GrossAmount <GrssAmt>***Presence:* [0..1]*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704



**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.

**46.4.5.10.11 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2835

**46.4.5.10.12 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**46.4.5.10.13 DealingPriceDetails <DealgPricDtIs>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 46.4.5.10.14 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 46.4.5.10.15 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 46.4.5.10.16 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 46.4.5.10.17 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 46.4.5.10.18 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 46.4.5.10.19 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2713

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 46.4.5.10.20 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 46.4.5.10.21 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

#### 46.4.5.10.22 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see ["ForeignExchangeTerms37"](#) on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

#### 46.4.5.10.23 IncomePreference <IncMPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference1Code"](#) on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 46.4.5.10.24 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* ["UKTaxGroupUnit1Code"](#) on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 46.4.5.10.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLAResourceRule"](#), [C36 "TransactionOverheadElementRule"](#)

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	946
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	946
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	947
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		947
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	947
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		948

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 46.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 46.4.5.10.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**46.4.5.10.25.3 TotalTaxes <TtITaxs>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**46.4.5.10.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**46.4.5.10.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1419
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421
	Basis <Bsis>	[0..1]			1421
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1422
	StandardRate <StdRate>	[0..1]	Rate		1422
	DiscountDetails <DscntDtls>	[0..1]		C18	1422
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C1, C13	1425
	AppliedRate <ApIdRate>	[0..1]	Rate		1425
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1425
	RecipientIdentification <RcptId>	[0..1]	±		1425
	InformativeIndicator <InfvInd>	[1..1]	Indicator		1425

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 46.4.5.10.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.



**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2594
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2596
	AppliedRate <ApldRate>	[0..1]	Rate		2596
	Country <Ctry>	[0..1]	CodeSet	C12	2596
	RecipientIdentification <RcptId>	[0..1]	±		2597
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2597
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

#### 46.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C34 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax2" on page 2570 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2571
	EUCapitalGain <EUCptlGn>	[0..1]			2571
{Or	Code <Cd>	[1..1]	CodeSet		2571
Or}	Proprietary <Prtry>	[1..1]	±		2572
	EUDividendStatus <EUDvddSts>	[0..1]			2572
{Or	Code <Cd>	[1..1]	CodeSet		2572
Or}	Proprietary <Prtry>	[1..1]	±		2572
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2573
	IndividualTax <IndvTax>	[0..*]			2573
	Type <Tp>	[1..1]			2574
{Or	Code <Cd>	[1..1]	CodeSet		2574
Or}	Proprietary <Prtry>	[1..1]	±		2576
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2576
	InformativeRate <InftvRate>	[0..1]	Rate		2576
	Country <Ctry>	[0..1]	CodeSet	C12	2577
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2577
	ExemptionReason <XmptnRsn>	[0..1]			2577
{Or	Code <Cd>	[1..1]	CodeSet		2577
Or}	Proprietary <Prtry>	[1..1]	±		2580
	RecipientIdentification <RcptId>	[0..1]	±		2580
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2581
	Basis <Bsis>	[0..1]			2581
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2582

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**46.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters19" on page 2442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2444
	SettlementPlace <SttlmPlc>	[1..1]	±		2444
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2444
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2445
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2445
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2445
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2445
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2446
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2447
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2447
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2448
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2449
	AccountIdentification <AcctId>	[0..1]	Text		2449
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2449
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2450
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2451
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2451
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2452
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2452
	PartyIdentification <PtyId>	[1..1]	±		2452
	AccountIdentification <AcctId>	[0..1]	Text		2452

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2452
	PartyIdentification <PtyId>	[1..1]	±		2453
	AccountIdentification <AcctId>	[0..1]	Text		2453

#### 46.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 46.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 46.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 46.4.5.10.31 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**46.4.5.10.32 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction151" on page 2244 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2245
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2246
	Reference <Ref>	[0..1]	Text		2247
	Debtor <Dbtr>	[0..1]	±		2247
	DebtorAccount <DbtrAcct>	[0..1]	±		2247
	DebtorAgent <DbtrAgt>	[0..1]	±		2248
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2248
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2248
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2248
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2249
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2249
	CreditorAgent <CdtrAgt>	[1..1]	±		2249
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2249
	Creditor <Cdtr>	[0..1]	±		2250
	CreditorAccount <CdtrAcct>	[1..1]	±		2250
Or	ChequeDetails <ChqDtls>	[1..1]			2250
	Number <Nb>	[0..1]	Text		2251
	PayeeIdentification <Pyeeld>	[1..1]	±		2251
	DraweeIdentification <Drweeld>	[0..1]	±		2251
	DrawerIdentification <Drwrlid>	[0..1]	±		2251
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2252
	Number <Nb>	[0..1]	Text		2252
	PayeeIdentification <Pyeeld>	[1..1]	±		2252
	DraweeIdentification <Drweeld>	[0..1]	±		2252
	DrawerIdentification <Drwrlid>	[0..1]	±		2253
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2253
	AccountIdentification <AcctId>	[0..1]	Text		2253
	Type <Tp>	[0..1]	±		2253

#### 46.4.5.10.33 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 46.4.5.10.34 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 46.4.5.10.35 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 46.4.5.10.36 StaffClientBreakdown <StffCIntBrkdn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 46.4.5.10.37 PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>

*Presence:* [0..1]

*Definition:* Amount retained by the fund and paid out later at a time decided by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.



**46.4.5.10.38 FinancialAdvice <FinAdv<**

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**46.4.5.10.39 NegotiatedTrade <NgtdTrad<**

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**46.4.5.10.40 LateReport <LateRpt<**

*Presence:* [0..1]

*Definition:* Specifies whether the order execution confirmation is late.

*Datatype:* "LateReport1Code" on page 2762

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**46.4.5.10.41 RelatedPartyDetails <RltdPtyDtls<**

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtIs>** contains the following elements (see "Intermediary49" on page 2105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2106
	Account <Acct>	[0..1]			2106
	Identification <Id>	[1..1]	Text		2106
	AccountServicer <AcctSvcr>	[0..1]	±		2106
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2107
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2107
	Role <Role>	[0..1]	±		2107

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 46.4.5.10.42 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

*Impacted by:* C29 "RedemptionEqualisationMethodologyTypes1Rule", C30 "RedemptionEqualisationMethodologyTypes2Rule"

**Equalisation <Equlstn>** contains the following elements (see "Equalisation3" on page 1805 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1806
	Rate <Rate>	[0..1]	Rate		1807
	EqualisationMethodologyType <EqulstnMthdlgyTp>	[0..2]			1807
	EqualisationMethodologyTypeCode <EqulstnMthdlgyTpCd>	[1..1]	CodeSet		1807
	RelatedSubscription <RltdSbcpt>	[0..*]			1808
	Reference <Ref>	[1..1]	±		1808
	RelatedQuantity <RltdQty>	[0..1]	Quantity		1809
	RelatedAmount <RltdAmt>	[0..1]	Amount	C2, C10	1809
	ContingentLiquidationPerUnit <CntngntLqdtPerUnit>	[0..1]	Amount	C2, C10	1809
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1809
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1810
	HighWatermark <HghWtrmrk>	[0..1]	Amount	C2, C10	1810
	GrossAssetValue <GrssAsstVal>	[0..1]	Amount	C2, C10	1811

#### Constraints

- **RedemptionEqualisationMethodologyTypes1Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

On Condition

/EqualisationMethodologyType[\*]/EqualisationMethodologyTypeCode is equal to value 'ContingentLiquidation'

Following Must be True

/EqualisationMethodologyType[\*]/RelatedSubscription[\*]/  
DepreciationDepositPerUnit Must be absent

- **RedemptionEqualisationMethodologyTypes2Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

On Condition

/EqualisationMethodologyType[\*]/EqualisationMethodologyTypeCode is equal to value 'DepreciationDeposit'

Following Must be True

/EqualisationMethodologyType[\*]/RelatedSubscription[\*]/  
ContingentLiquidationPerUnit Must be absent

#### 46.4.5.10.43 CustomerConductClassification <CstmrCndctClsfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClsfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 46.4.5.10.44 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 46.4.5.10.45 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 46.4.5.10.46 OrderWaiverDetails <OrdrWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C37 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

**Constraints**

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

**46.4.5.10.47 GatingOrHoldBackDetails <GtgOrHldBckDtls>**

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see ["HoldBackInformation2"](#) on page 1829 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1829
	Amount <Amt>	[0..1]	Amount	C1, C13	1829
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1830
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1830
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1831
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1831
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1832

**46.4.5.11 TotalSettlementAmount <TtlSttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* [C3 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**46.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction151" on page 2244 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2245
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2246
	Reference <Ref>	[0..1]	Text		2247
	Debtor <Dbtr>	[0..1]	±		2247
	DebtorAccount <DbtrAcct>	[0..1]	±		2247
	DebtorAgent <DbtrAgt>	[0..1]	±		2248
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2248
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2248
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2248
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2249
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2249
	CreditorAgent <CdtrAgt>	[1..1]	±		2249
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2249
	Creditor <Cdtr>	[0..1]	±		2250
	CreditorAccount <CdtrAcct>	[1..1]	±		2250
Or	ChequeDetails <ChqDtls>	[1..1]			2250
	Number <Nb>	[0..1]	Text		2251
	PayeeIdentification <Pyeeld>	[1..1]	±		2251
	DraweeIdentification <Drweeld>	[0..1]	±		2251
	DrawerIdentification <Drwrlid>	[0..1]	±		2251
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2252
	Number <Nb>	[0..1]	Text		2252
	PayeeIdentification <Pyeeld>	[1..1]	±		2252
	DraweeIdentification <Drweeld>	[0..1]	±		2252
	DrawerIdentification <Drwrlid>	[0..1]	±		2253
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2253
	AccountIdentification <Acctld>	[0..1]	Text		2253
	Type <Tp>	[0..1]	±		2253

## 46.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 46.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 47      **setr.007.001.04**

## **SubscriptionBulkOrderV04**

### 47.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.

#### Usage

The SubscriptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. This message will typically be used by a party collecting orders and bulking these individual orders into one bulk order before sending it to another party.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

#### Outline

The SubscriptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. BulkOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

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



## 47.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrd>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		969
	<b>PoolReference</b> <PoolRef>	[0..1]	±		969
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		970
	<b>BulkOrderDetails</b> <BlkOrdDtls>	[1..1]		C7, C27, C29	970
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		973
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		973
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		973
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		973
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		973
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		974
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	974
	<b>IndividualOrderDetails</b> <IndvOrdDtls>	[1..*]		C21, C23, C24	974
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		977
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		977
	<b>OrderType</b> <OrdTp>	[0..10]	±		977
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			978
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		978
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	978
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	979
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		979
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	979
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		980
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		980
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		980
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	980
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	981
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		982

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		982
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		983
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	983
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		983
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	983
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		984
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		985
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		987
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		987
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		987
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		989
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		989
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		989
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		990
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	990
	<b>Equalisation</b> <Equlstn>	[0..1]	±		990
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		991
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		991
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		991
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		991
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	992
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	992
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	992
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	993
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		993
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		995
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	995

## 47.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 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.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

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

**C6 BICFI**

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

**C7 BulkCashSettlementDetails3Rule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrency2Rule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 47.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 47.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 47.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

### 47.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

### 47.4.4 BulkOrderDetails <BlkOrdDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetails3Rule"](#), [C27 "RequestedSettlementCurrencyRule"](#), [C29 "SettlementCurrency2Rule"](#)

**BulkOrderDetails <BlkOrdrDtls>** contains the following **SubscriptionBulkOrder5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		973
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		973
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		973
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		973
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		973
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		974
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	974
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C21, C23, C24	974
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		977
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		977
	<b>OrderType</b> <OrdrTp>	[0..10]	±		977
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			978
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		978
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	978
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	979
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		979
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	979
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		980
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		980
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		980
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	980
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	981
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		982
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		982
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		983
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	983
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		983
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	983

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		984
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		985
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		987
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		987
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		987
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		989
	<b>StaffClientBreakdown</b> <StffCIntBrkdown>	[0..4]	±		989
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		989
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		990
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	990
	<b>Equalisation</b> <Equlstn>	[0..1]	±		990
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		991
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		991
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		991
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		991
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	992
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	992
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	992
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	993
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		993

### Constraints

- **BulkCashSettlementDetails3Rule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrency2Rule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.



**47.4.4.1 MasterReference <MstrRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.*Datatype:* "Max35Text" on page 2837**47.4.4.2 PlaceOfTrade <PlcOfTrad>***Presence:* [0..1]*Definition:* Market in which the advised trade transaction was executed.**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

**47.4.4.3 OrderDateTime <OrdrDtTm>***Presence:* [0..1]*Definition:* Date and time the order is placed by the investor or its agent.*Datatype:* "ISODateTime" on page 2822**47.4.4.4 ExpiryDateTime <XpryDtTm>***Presence:* [0..1]*Definition:* Date on which the order expires.**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**47.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>***Presence:* [0..1]*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 47.4.4.6 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "[CancellationRight1Choice](#)" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 47.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* [C18 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "[FinancialInstrument57](#)" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 47.4.4.8 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Order to invest the investor's principal in an investment fund.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule"

**IndividualOrderDetails <IndvOrdrDtls>** contains the following **SubscriptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		977
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		977
	<b>OrderType</b> <OrdrTp>	[0..10]	±		977
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			978
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		978
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	978
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	979
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		979
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	979
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		980
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		980
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		980
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	980
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	981
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		982
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		982
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		983
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	983
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		983
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	983
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		984
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		985
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		987
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		987
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		987
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		989
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		989
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		989
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		990
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	990

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Equalisation</b> <Equlstn>	[0..1]	±		990
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		991
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		991
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		991
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		991
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	992

### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 47.4.4.8.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 47.4.4.8.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 47.4.4.8.3 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 47.4.4.8.4 AmountOrUnits <AmtOrUnits>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units for the subscription order.

**AmountOrUnits <AmtOrUnits>** contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		978
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	978
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	979

##### 47.4.4.8.4.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "[DecimalNumber](#)" on page 2834

##### 47.4.4.8.4.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#), [C9 "CurrencyAmount"](#)

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**47.4.4.8.4.3 NetAmount <NetAmt>***Presence:* [1..1]*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**47.4.4.8.5 Rounding <Rndg>***Presence:* [0..1]*Definition:* Indicates the rounding direction applied to nearest unit.*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**47.4.4.8.6 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

#### 47.4.4.8.7 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 47.4.4.8.8 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 47.4.4.8.9 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 47.4.4.8.10 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"



**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 47.4.4.8.11 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2281 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2281
	BirthDate <BirthDt>	[0..1]	Date		2281
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2282
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2282
	OtherIdentification <OthrId>	[0..*]			2282
	Identification <Id>	[1..1]	Text		2282
	IdentificationType <IdTp>	[1..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284
	Issuer </ssr>	[0..1]	Text		2284

**Constraints**

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**47.4.4.8.12 ForeignExchangeDetails <FXDtIs>**

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1553 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

**47.4.4.8.13 LetterIntentReference <LtrInttRef>**

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2837

**47.4.4.8.14 AccumulationRightReference <AcmltnRghtRef>**

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

**47.4.4.8.15 TransactionOverhead <TxOvrhd>**

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the net amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		983
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	983
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		984

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**47.4.4.8.15.1 CommercialAgreementReference <ComrcAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**47.4.4.8.15.2 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 47.4.4.8.15.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 47.4.4.8.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2431 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 47.4.4.8.17 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 47.4.4.8.18 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

#### 47.4.4.8.19 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <Drwrlid>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### 47.4.4.8.20 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 47.4.4.8.21 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 47.4.4.8.22 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.

CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 47.4.4.8.23 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 47.4.4.8.24 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 47.4.4.8.25 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see "[Equalisation1](#)" on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 47.4.4.8.26 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "[SourceOfCash1Choice](#)" on page 2270 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2270
Or}	Proprietary <Prtry>	[1..1]	±		2271

#### 47.4.4.8.27 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 47.4.4.8.28 TransactionChannelType <TxChanITp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 47.4.4.8.29 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "[SignatureType1Choice](#)" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 47.4.4.8.30 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* [C32 "WaiverElementRule"](#)

**OrderWaiverDetails <OrdWvrDtls>** contains the following elements (see "[OrderWaiver1](#)" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 47.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyCode](#)" on page 2711

#### 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.

#### 47.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **47.4.4.11 TotalSettlementAmount <TtlSttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **47.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <PyeeId>	[1..1]	±		2266
	DraweeIdentification <DrweeId>	[0..1]	±		2266
	DrawerIdentification <DrwrlId>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

## 47.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 47.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 48      **setr.008.001.04**

## **SubscriptionBulkOrderCancellationRequestV04**

### 48.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.

#### Usage

The SubscriptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionBulkOrder message is specified in the order reference element. The message identification of the SubscriptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The SubscriptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

E. OrderReferences

Identification of the individual order to be cancelled.

F. CopyDetails



Information provided when the message is a copy of a previous message.

## 48.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <SbcptBlkOrdxCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		997
	<b>PoolReference</b> <PoolRef>	[0..1]	±		998
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		998
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		998
	<b>OrderReferences</b> <OrdRefs>	[1..*]			998
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		999
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		999
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		999
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		999
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		999

## 48.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 48.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 48.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 48.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 48.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 48.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "[Max35Text](#)" on page 2837

## 48.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		999
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		999
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		999
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		999

#### 48.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 48.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 48.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 48.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

### 48.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C5	1898

# 49 setr.009.001.04 SubscriptionBulkOrderConfirmationV04

## 49.1 MessageDefinition Functionality

### Scope

The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.

### Usage

The SubscriptionBulkOrderConfirmation message is used to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionBulkOrder message in which the individual order was conveyed may also be quoted in RelatedReference.

A SubscriptionBulkOrder must in all cases be responded to by a SubscriptionBulkOrderConfirmation and in no circumstances by a SubscriptionOrderConfirmation.

If the executing party needs to confirm a SubscriptionOrder instruction, then the SubscriptionOrderConfirmation must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

### Outline

The SubscriptionBulkOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BulkExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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

## 49.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdrConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1008
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1008
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1008
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1009
	<b>BulkExecutionDetails</b> <BlkExctnDtls>	[1..1]		C8, C29, C31	1009
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1012
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1012
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1012
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		1013
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		1013
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1013
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1013
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1013
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	1014
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1017
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1017
	<b>DealReference</b> <DealRef>	[1..1]	Text		1017
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1017
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	1017
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	1018
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1019
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1019
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	1019
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	1019
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1020
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1020
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1021

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	1021
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1022
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1022
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		1022
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1022
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1023
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1023
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1023
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1024
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		1024
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1024
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	1024
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1025
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	1025
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	1026
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1026
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1026
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1027
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	1028
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1030
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1032
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1032
	<b>StaffClientBreakdown</b> <StffClntrBrkdown>	[0..4]	±		1032
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	1032
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	1033
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1033
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1035
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1035
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1035
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1035
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1036



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1036
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1036
	<b>Equalisation</b> <Equlstr>	[0..1]	±		1037
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1037
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1037
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1037
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1038
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	1038
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1038
	<b>RequestedNAVCurrency</b> <ReqdNAVCCy>	[0..1]	CodeSet	C4	1039
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1039
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1039
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1041
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	1041

## 49.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

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

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

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

**C8 BulkCashSettlementDetailsRule**

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of BulkExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C32 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C33 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C34 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 49.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 49.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 49.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

### 49.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 49.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 49.4.5 BulkExecutionDetails <BlkExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C29 "RequestedSettlementCurrencyRule", C31 "SettlementCurrencyRule"

**BulkExecutionDetails <BlkExctnDtls>** contains the following **SubscriptionBulkExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1012
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1012
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1012
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		1013
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		1013
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1013
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1013
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1013
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	1014
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1017
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1017
	<b>DealReference</b> <DealRef>	[1..1]	Text		1017
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1017
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	1017
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	1018
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1019
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1019
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	1019
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	1019
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1020
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1020
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1021
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	1021
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1022
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1022
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		1022
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1022
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1023
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1023

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1023
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1024
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		1024
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1024
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	1024
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1025
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	1025
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	1026
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1026
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1026
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1027
	<b>InformativeTaxDetails</b> <InfvtvTaxDtls>	[0..1]	±	C32	1028
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1030
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1032
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1032
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		1032
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	1032
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	1033
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1033
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1035
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1035
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1035
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1035
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1036
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1036
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1036
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1037
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1037
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1037
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		1037

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1038
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	1038
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1038
	<b>RequestedNAVCurrency</b> <ReqdNAVCCy>	[0..1]	CodeSet	C4	1039
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1039
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1039

**Constraints**

- **BulkCashSettlementDetailsRule**

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**49.4.5.1 AmendmentIndicator <AmdmntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**49.4.5.2 MasterReference <MstrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

**49.4.5.3 PlaceOfTrade <PlcOfTrad>**

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.



**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

#### 49.4.5.4 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 49.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2822

#### 49.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 49.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 49.4.5.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the investment fund order execution is related.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 49.4.5.9 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a subscription order.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **SubscriptionExecution12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1017
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1017
	<b>DealReference</b> <DealRef>	[1..1]	Text		1017
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1017
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	1017
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	1018
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1019
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1019
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	1019
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	1019
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1020
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1020
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1021
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	1021
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1022
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1022
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		1022
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1022
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1023
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1023
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1023
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1024
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		1024
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1024
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	1024
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1025
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	1025
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	1026
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1026
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1026

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1027
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	1028
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1030
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1032
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1032
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		1032
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	1032
	<b>SubscriptionInterest</b> <SbcptlIntrst>	[0..1]	Amount	C3, C10	1033
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1033
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1035
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1035
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1035
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1035
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1036
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1036
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1036
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1037
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1037
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1037
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1037
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1038
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C34	1038

### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

#### 49.4.5.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 49.4.5.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 49.4.5.9.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 49.4.5.9.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 49.4.5.9.5 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 49.4.5.9.6 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2281 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2281
	BirthDate <BirthDt>	[0..1]	Date		2281
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2282
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2282
	OtherIdentification <OthrId>	[0..*]			2282
	Identification <Id>	[1..1]	Text		2282
	IdentificationType <IdTp>	[1..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284
	Issuer </ssr>	[0..1]	Text		2284

**Constraints**

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**49.4.5.9.7 UnitsNumber <UnitsNb>**

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2834

**49.4.5.9.8 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**49.4.5.9.9 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**49.4.5.9.10 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 49.4.5.9.11 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 49.4.5.9.12 DealingPriceDetails <DealgPricDtls>

*Presence:* [1..1]

*Definition:* Price at which the order was executed.



**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 49.4.5.9.13 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 49.4.5.9.14 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 49.4.5.9.15 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 49.4.5.9.16 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 49.4.5.9.17 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 49.4.5.9.18 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2713

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

**49.4.5.9.19 CumDividendIndicator <CumDvddInd>***Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**49.4.5.9.20 InterimProfitAmount <IntrmPrftAmt>***Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

**49.4.5.9.21 ForeignExchangeDetails <FXDtls>***Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms33](#)" on page 1549 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1549
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1549
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1550
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1550
	ExchangeRate <XchgRate>	[1..1]	Rate		1550
	QuotationDate <QtnDt>	[0..1]	DateTime		1551
	QuotingInstitution <QtgInstn>	[0..1]	±		1551

#### 49.4.5.9.22 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 49.4.5.9.23 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2837

#### 49.4.5.9.24 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2837

#### 49.4.5.9.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C18 "NonStandardsSLAReferenceRule", C33 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	1025
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	1025
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	1026
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1026
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1026
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1027

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 49.4.5.9.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 49.4.5.9.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**49.4.5.9.25.3 TotalTaxes <TtITaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**49.4.5.9.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**49.4.5.9.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1397
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399
	Basis <Bsis>	[0..1]			1399
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1400
	StandardRate <StdRate>	[0..1]	Rate		1400
	DiscountDetails <DscntDtls>	[0..1]		C18	1400
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C1, C13	1403
	AppliedRate <ApIdRate>	[0..1]	Rate		1403
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1403
	RecipientIdentification <RcptId>	[0..1]	±		1403
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1403

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 49.4.5.9.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2565
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2567
	AppliedRate <ApldRate>	[0..1]	Rate		2568
	Country <Ctry>	[0..1]	CodeSet	C12	2568
	RecipientIdentification <RcptId>	[0..1]	±		2568
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2568
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

#### 49.4.5.9.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"



**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2603
	EUCapitalGain <EUCptlGn>	[0..1]			2604
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604
	EUDividendStatus <EUDvddSts>	[0..1]			2605
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2606
	IndividualTax <IndvTax>	[0..*]			2606
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <RcptId>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**49.4.5.9.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2420 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

**49.4.5.9.28 PhysicalDeliveryIndicator <PhysDlvryInd>***Presence:* [1..1]*Definition:* Indicates whether the financial instrument is to be physically delivered.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**49.4.5.9.29 PhysicalDeliveryDetails <PhysDlvryDtls>***Presence:* [0..1]*Definition:* Information related to the physical delivery of the securities.**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

**49.4.5.9.30 StaffClientBreakdown <StffCIntBrkdwn>***Presence:* [0..4]*Definition:* Breakdown of the net amount per type of order.**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see ["InvestmentFundsOrderBreakdown2"](#) on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

**49.4.5.9.31 Refund <Rfnd>***Presence:* [0..1]*Definition:* Return of cash that has been overpaid for a subscription.*Impacted by:* [C3 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 49.4.5.9.32 SubscriptionInterest <SbcptIntrst>

*Presence:* [0..1]

*Definition:* Interest received when a subscription amount is paid in advance and then invested by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 49.4.5.9.33 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <PyeeId>	[1..1]	±		2265
	DraweeIdentification <DrweeId>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <Drwrlid>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <Acctld>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

**49.4.5.9.34 NonStandardSettlementInformation <NonStdSttlmInf>***Presence:* [0..1]*Definition:* Additional specific settlement information for non-regulated traded funds.*Datatype:* "Max350Text" on page 2837**49.4.5.9.35 PartialSettlementOfUnits <PrtlSttlmOfUnits>***Presence:* [0..1]*Definition:* Percentage of units partially settled.*Datatype:* "PercentageRate" on page 2835**49.4.5.9.36 FinancialAdvice <FinAdv>***Presence:* [0..1]*Definition:* Specifies if advice has been received from an independent financial advisor.*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**49.4.5.9.37 NegotiatedTrade <NgtdTrad>***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**49.4.5.9.38 LateReport <LateRpt>***Presence:* [0..1]*Definition:* Specifies whether the order execution confirmation is late.*Datatype:* "LateReport1Code" on page 2762

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**49.4.5.9.39 PartialSettlementOfCash <PrtlSttlmOfCsh>***Presence:* [0..1]*Definition:* Percentage of cash partially settled.*Datatype:* "PercentageRate" on page 2835**49.4.5.9.40 RelatedPartyDetails <RltdPtyDtls>***Presence:* [0..10]*Definition:* Party related to the transaction.*Impacted by:* C19 "OrderOriginatorEligibility1Rule"**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 2031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2031
	Account <Acct>	[0..1]			2032
	Identification </Id>	[1..1]	Text		2032
	AccountServicer <AcctSvcr>	[0..1]	±		2032
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2032
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2033
	Role <Role>	[0..1]	±		2033



**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**49.4.5.9.41 Equalisation <Equlstn>**

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see "[Equalisation1](#)" on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

**49.4.5.9.42 SourceOfCash <SrcOfCsh>**

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "[SourceOfCash1Choice](#)" on page 2270 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2270
Or}	Proprietary <Prtry>	[1..1]	±		2271

**49.4.5.9.43 CustomerConductClassification <CstmrCndctClssfctn>**

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

**49.4.5.9.44 TransactionChannelType <TxChanlTp>**

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 49.4.5.9.45 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 49.4.5.9.46 OrderWaiverDetails <OrdrWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C34 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 49.4.5.10 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**49.4.5.11 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**49.4.5.12 TotalSettlementAmount <TtlSttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**49.4.5.13 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <PyeeId>	[1..1]	±		2265
	DraweeIdentification <DrweeId>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <DrwrlId>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

## 49.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 49.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 50      **setr.010.001.04**

## **SubscriptionOrderV04**

### 50.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.

#### Usage

The SubscriptionOrder message is used to instruct single subscription orders, that is, a message containing one order for one financial instrument for one investment account. The SubscriptionOrder message may also be used for multiple orders, that is, a message containing several orders for the same investment account for different financial instruments.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

If there are subscription orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the SubscriptionBulkOrder message must be used.

#### Outline

The SubscriptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MultipleOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

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

## 50.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdr>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1047
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1048
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1048
	<b>MultipleOrderDetails</b> <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	1048
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1051
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1051
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		1051
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		1051
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1052
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1052
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	1052
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	1052
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	1053
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1055
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1055
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1056
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	1056
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1057
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			1057
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1057
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	1057
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	1058
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1058
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	1058
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1059
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1059
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		1059

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1060
	<b>LetterIntentReference</b> <LtrIntntRef>	[0..1]	Text		1060
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1060
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	1061
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1061
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	1061
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1062
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1063
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1065
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1065
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1065
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	1065
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1066
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1068
	<b>StaffClientBreakdown</b> <StffClntBrkwn>	[0..4]	±		1068
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1068
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1069
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1069
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1069
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1070
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1070
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1070
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1070
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	1071
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1071
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1073
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1073
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	1074



## 50.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AnyBIC

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

### C6 BICFI

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

### C7 BulkCashSettlementDetailsRule

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

### C8 Country

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

### C9 CurrencyAmount

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

Note: The decimal separator is a dot.

### C10 CurrencyAmount

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

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present.  
If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C33 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 50.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 50.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 50.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 50.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 50.4.4 MultipleOrderDetails <MltplOrdRDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#), [C29 "SettlementCurrencyRule"](#), [C32 "TotalSettlementCurrencyRule"](#)

**MultipleOrderDetails <MltplOrdrDtls>** contains the following **SubscriptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1051
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1051
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		1051
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		1051
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1052
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1052
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	1052
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	1052
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	1053
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1055
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1055
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1056
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	1056
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1057
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			1057
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1057
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	1057
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	1058
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1058
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	1058
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1059
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1059
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		1059
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1060
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		1060
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1060
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	1061
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1061

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	1061
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1062
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1063
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1065
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1065
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1065
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	1065
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1066
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1068
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		1068
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1068
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1069
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1069
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1069
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1070
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1070
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		1070
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1070
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	1071
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1071
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	1073

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 50.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

#### 50.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

#### 50.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

#### 50.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 50.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed. The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 50.4.4.6 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 50.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

##### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 50.4.4.8 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]



*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2281 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2281
	BirthDate <BirthDt>	[0..1]	Date		2281
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2282
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2282
	OtherIdentification <OthrId>	[0..*]			2282
	Identification <Id>	[1..1]	Text		2282
	IdentificationType <IdTp>	[1..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284
	Issuer <Issr>	[0..1]	Text		2284

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

#### 50.4.4.9 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Order to invest the investor's principal in an investment fund.

*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule", C27 "RequestedSettlementCurrencyRule"

**IndividualOrderDetails <IndvOrdrDtls>** contains the following **SubscriptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1055
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1055
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1056
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	1056
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1057
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			1057
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1057
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	1057
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	1058
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1058
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	1058
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1059
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1059
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		1059
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1060
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		1060
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1060
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	1061
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1061
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	1061
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1062
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1063
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1065
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1065
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1065
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	1065
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1066
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1068
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		1068
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1068

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1069
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1069
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1069
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1070
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1070
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1070
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1070
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C33	1071

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/  
attribute::Currency

#### 50.4.4.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 50.4.4.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 50.4.4.9.3 OrderType <OrdrTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

#### 50.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* C18 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 50.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

*Presence:* [0..1]

*Definition:* Subdivision of the account used to segregate specific holdings.

**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "[SubAccount6](#)" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

#### 50.4.4.9.6 AmountOrUnits <AmtOrUnits>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units for the subscription order.

**AmountOrUnits <AmtOrUnits>** contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1057
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	1057
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	1058

##### 50.4.4.9.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "[DecimalNumber](#)" on page 2834

##### 50.4.4.9.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C4 "[ActiveOrHistoricCurrency](#)", C9 "[CurrencyAmount](#)"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**50.4.4.9.6.3 NetAmount <NetAmt>**

*Presence:* [1..1]

*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**50.4.4.9.7 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**50.4.4.9.8 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 50.4.4.9.9 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 50.4.4.9.10 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 50.4.4.9.11 ForeignExchangeDetails <FXDtIs>

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

## EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1553 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

### 50.4.4.9.12 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

### 50.4.4.9.13 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2837

### 50.4.4.9.14 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2837



**50.4.4.9.15 TransactionOverhead <TxOvrhd>***Presence:* [0..1]*Definition:* Fees (charges/commission) and tax to be applied to the net amount.*Impacted by:* C16 "FeeTaxElementRule"**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrclAgrmtRef>	[0..1]	Text		1061
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	1061
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1062

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**50.4.4.9.15.1 CommercialAgreementReference <ComrclAgrmtRef>***Presence:* [0..1]*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.*Datatype:* "Max35Text" on page 2837**50.4.4.9.15.2 IndividualFee <IndvFee>***Presence:* [0..\*]*Definition:* Individual fee (charge/commission).*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 50.4.4.9.15.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 50.4.4.9.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2431 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 50.4.4.9.17 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 50.4.4.9.18 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

#### 50.4.4.9.19 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 50.4.4.9.20 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **50.4.4.9.21 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <Drwrlid>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### 50.4.4.9.22 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 50.4.4.9.23 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 50.4.4.9.24 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.



CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 50.4.4.9.25 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 50.4.4.9.26 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 50.4.4.9.27 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 50.4.4.9.28 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see ["SourceOfCash1Choice"](#) on page 2270 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2270
Or}	Proprietary <Prtry>	[1..1]	±		2271

#### 50.4.4.9.29 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see ["CustomerConductClassification1Choice"](#) on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 50.4.4.9.30 TransactionChannelType <TxChanITp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see ["TransactionChannelType1Choice"](#) on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 50.4.4.9.31 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 50.4.4.9.32 OrderWaiverDetails <OrdrWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C33 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 50.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2254 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2265
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <DrwrlId>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### 50.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

### 50.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 50.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 51      **setr.011.001.04**

## **SubscriptionOrderCancellationRequestV04**

### 51.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.

#### Usage

The SubscriptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionOrder message is specified in the order reference element. The message identification of the SubscriptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The SubscriptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

E. OrderReferences

Identification of the individual order to be cancelled.

F. CopyDetails

Information provided when the message is a copy of a previous message.

## 51.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdrCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1076
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1077
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		1077
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1077
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			1077
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1078
	<b>ClientReference</b> <CintRef>	[0..1]	Text		1078
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1078
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1078
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1078

## 51.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 51.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 51.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on [page 1571](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571



## 51.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 51.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 51.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 51.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1078
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1078
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1078
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1078

**51.4.5.1 OrderReference <OrdRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**51.4.5.2 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**51.4.5.3 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**51.4.5.4 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

**51.4.6 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

# 52      **setr.012.001.05**

## **SubscriptionOrderConfirmationV05**

### 52.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.

#### Usage

The SubscriptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A SubscriptionOrder message containing more than one individual order may be responded to by more than one SubscriptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a SubscriptionOrderConfirmation message contains fewer confirmations than originally instructed in the original SubscriptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionOrder message in which the individual orders was conveyed may also be quoted in RelatedReference but this is not recommended.

A SubscriptionOrder must in all cases be responded to by a SubscriptionOrderConfirmation message and in no circumstances by a SubscriptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more subscription orders for the same financial instrument, then a SubscriptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

#### Outline

The SubscriptionOrderConfirmationV05 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MultipleExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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

## 52.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdConf>	[1..1]		C2, C25	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1086
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1086
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1087
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1087
	<b>MultipleExecutionDetails</b> <MltplExctnDtls>	[1..1]		C8, C24, C34, C36	1087
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1090
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1090
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1091
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		1091
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		1091
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1091
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1091
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C23	1092
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C26	1092
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C27, C28, C29, C32	1093
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1096
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1096
	<b>DealReference</b> <DealRef>	[1..1]	Text		1096
	<b>OrderType</b> <OrdTp>	[0..10]	±		1096
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C20	1097
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1097
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1098
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1098
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C11	1098
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C11	1098
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1099

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1099
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1100
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C11	1100
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1100
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1101
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		1101
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1101
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1101
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1101
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1102
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1102
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		1103
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1103
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C21, C37	1103
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C11	1104
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C11	1104
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C11	1105
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1105
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1105
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1106
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C35	1107
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1109
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1111
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1111
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1111
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	1111
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C11	1112
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C11	1112
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1113
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1115
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1115

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1115
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		1115
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1116
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1116
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1116
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C22	1116
	<b>Equalisation</b> <Equlstn>	[0..1]	±	C9, C15, C17	1117
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1118
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1118
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1118
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1119
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C38	1119
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C11	1119
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1120
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1122
	<b>Extension</b> <Xtnsn>	[0..*]	±	C18	1122

## 52.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 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.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 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.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

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

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 ContingentLiquidationMethodologyTypeRule**

Contingent Liquidation per Unit can only be used with Contingent Liquidation Methodology Type.

**C10 Country**

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

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C14 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C15 DepreciationDepositMethodologyTypeRule**

Depreciation Deposit per Unit can only be used with Depreciation Deposit Methodology Type.

**C16 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C17 EqualisationCreditMethodologyTypeRule**

Equalisation Credit per Unit can only be used with Equalisation Credit Methodology Type.



**C18 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C19 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C20 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C21 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C22 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C23 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C24 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C25 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C26 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C27 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C28 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C29 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C30 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C31 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C32 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C33 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C34 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C35 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C36 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C37 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C38 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 52.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 52.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see ["MessageIdentification1"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 52.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference11"](#) on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

### 52.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 52.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

### 52.4.5 MultipleExecutionDetails <MltplExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* [C8 "BulkCashSettlementDetailsRule"](#), [C24 "OrderOriginatorEligibility3Rule"](#), [C34 "SettlementCurrencyRule"](#), [C36 "TotalSettlementCurrencyRule"](#)

**MultipleExecutionDetails** <MltplExctnDtls> contains the following **SubscriptionMultipleExecution6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1090
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1090
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1091
	<b>OrderDateTime</b> <OrdrtDtM>	[0..1]	DateTime		1091
	<b>ReceivedDateTime</b> <RcvdDtM>	[0..1]	DateTime		1091
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1091
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1091
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C23	1092
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C26	1092
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C27, C28, C29, C32	1093
	<b>OrderReference</b> <OrdrtRef>	[1..1]	Text		1096
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1096
	<b>DealReference</b> <DealRef>	[1..1]	Text		1096
	<b>OrderType</b> <OrdrtTp>	[0..10]	±		1096
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C20	1097
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1097
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1098
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1098
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C11	1098
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C11	1098
	<b>TradeDateTime</b> <TradDtM>	[1..1]	±		1099
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1099
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1100
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C11	1100
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1100
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1101
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		1101
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1101
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1101

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1101
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1102
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1102
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		1103
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1103
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C21, C37	1103
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C11	1104
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C11	1104
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C11	1105
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1105
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1105
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1106
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C35	1107
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1109
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1111
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1111
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1111
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	1111
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C11	1112
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C11	1112
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1113
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1115
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1115
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1115
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		1115
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1116
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1116
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1116
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C22	1116
	<b>Equalisation</b> <Equlstn>	[0..1]	±	C9, C15, C17	1117

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1118
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1118
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		1118
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1119
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C38	1119
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C11	1119
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		1120

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 52.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 52.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "[Max35Text](#)" on page 2837

### 52.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification4Choice" on page 1860 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1860
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1861
Or	Party <Pty>	[1..1]	IdentifierSet	C4	1861
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1861

### 52.4.5.4 OrderDateTime <OrdRdtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2822

### 52.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2822

### 52.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

### 52.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

### 52.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C23 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount78" on page 1651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1651
	AccountName <AcctNm>	[0..1]	Text		1652
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1652
	OwnerIdentification <OwnrId>	[0..*]	±		1652
	AccountServicer <AcctSvcr>	[0..1]	±		1652
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1652
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1653

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### 52.4.5.9 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C26 "PersonElementRule"



**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson32" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </ssr>	[0..1]	Text		2301

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 52.4.5.10 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a subscription order.

*Impacted by:* C27 "PhysicalDeliveryDetails1Rule", C28 "PhysicalDeliveryDetails2Rule", C29 "PriceDifferenceReasonRule", C32 "RequestedSettlementCurrencyRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **SubscriptionExecution14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1096
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1096
	<b>DealReference</b> <DealRef>	[1..1]	Text		1096
	<b>OrderType</b> <OrdrTp>	[0..10]	±		1096
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C20	1097
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		1097
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1098
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		1098
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C11	1098
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C11	1098
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1099
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		1099
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1100
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C11	1100
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1100
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1101
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		1101
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1101
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1101
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1101
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1102
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1102
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		1103
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		1103
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C21, C37	1103
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C11	1104
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C11	1104
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C11	1105
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1105
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1105

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1106
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C35	1107
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1109
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1111
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1111
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	1111
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	1111
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C11	1112
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C11	1112
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1113
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1115
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		1115
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		1115
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		1115
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		1116
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1116
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1116
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C22	1116
	<b>Equalisation</b> <Equlstn>	[0..1]	±	C9, C15, C17	1117
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		1118
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1118
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1118
	<b>SignatureType</b> <SgnrTp>	[0..1]	±		1119
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C38	1119

## Constraints

### • PhysicalDeliveryDetails1Rule

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/

attribute::Currency

#### 52.4.5.10.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 52.4.5.10.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 52.4.5.10.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 52.4.5.10.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1775 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

**52.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>***Presence:* [1..1]*Definition:* Investment fund class to which the investment fund order execution is related.*Impacted by:* C20 "IdentificationGuideline"**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**52.4.5.10.6 SubAccountForHolding <SubAcctForHldg>***Presence:* [0..1]*Definition:* Subdivision of the account used to segregate specific holdings.**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "SubAccount6" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

**52.4.5.10.7 UnitsNumber <UnitsNb>**

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2834

**52.4.5.10.8 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**52.4.5.10.9 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**52.4.5.10.10 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**52.4.5.10.11 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**52.4.5.10.12 DealingPriceDetails <DealgPricDtls>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "[UnitPrice22](#)" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

**52.4.5.10.13 InformativePriceDetails <InftvPricDtls>***Presence:* [0..2]*Definition:* Other quoted price than the one at which the order was executed.**InformativePriceDetails <InftvPricDtls>** contains the following elements (see ["UnitPrice22"](#) on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

**52.4.5.10.14 SettlementAmount <SttlmAmt>***Presence:* [1..1]*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**52.4.5.10.15 CashSettlementDate <CshSttlmDt>***Presence:* [0..1]*Definition:* Date on which cash is available.*Datatype:* "ISODate" on page 2822



**52.4.5.10.16 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**52.4.5.10.17 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**52.4.5.10.18 BestExecution <BestExctn>**

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2713

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

**52.4.5.10.19 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**52.4.5.10.20 InterimProfitAmount <IntrmPrftAmt>**

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

#### 52.4.5.10.21 ForeignExchangeDetails <FXDtIs>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "ForeignExchangeTerms37" on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

#### 52.4.5.10.22 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 52.4.5.10.23 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

#### 52.4.5.10.24 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

#### 52.4.5.10.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C21 "NonStandardsSLAReferenceRule", C37 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C11	1104
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C11	1104
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C11	1105
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1105
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	1105
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1106

**Constraints**

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**52.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApId>**

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**52.4.5.10.25.2 TotalFees <TtlFees>**

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**52.4.5.10.25.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**52.4.5.10.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**52.4.5.10.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1419
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421
	Basis <Bsis>	[0..1]			1421
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1422
	StandardRate <StdRate>	[0..1]	Rate		1422
	DiscountDetails <DscntDtls>	[0..1]		C18	1422
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1425
	AppliedRate <ApldRate>	[0..1]	Rate		1425
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1425
	RecipientIdentification <RcptId>	[0..1]	±		1425
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1425

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 52.4.5.10.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2594
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2596
	AppliedRate <ApldRate>	[0..1]	Rate		2596
	Country <Ctry>	[0..1]	CodeSet	C12	2596
	RecipientIdentification <RcptId>	[0..1]	±		2597
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2597
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

#### 52.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C35 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax2" on page 2570 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2571
	EUCapitalGain <EUCptlGn>	[0..1]			2571
{Or	Code <Cd>	[1..1]	CodeSet		2571
Or}	Proprietary <Prtry>	[1..1]	±		2572
	EUDividendStatus <EUDvddSts>	[0..1]			2572
{Or	Code <Cd>	[1..1]	CodeSet		2572
Or}	Proprietary <Prtry>	[1..1]	±		2572
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2573
	IndividualTax <IndvTax>	[0..*]			2573
	Type <Tp>	[1..1]			2574
{Or	Code <Cd>	[1..1]	CodeSet		2574
Or}	Proprietary <Prtry>	[1..1]	±		2576
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2576
	InformativeRate <InftvRate>	[0..1]	Rate		2576
	Country <Ctry>	[0..1]	CodeSet	C12	2577
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2577
	ExemptionReason <XmptnRsn>	[0..1]			2577
{Or	Code <Cd>	[1..1]	CodeSet		2577
Or}	Proprietary <Prtry>	[1..1]	±		2580
	RecipientIdentification <RcptId>	[0..1]	±		2580
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2581
	Basis <Bsis>	[0..1]			2581
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2582



**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**52.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters20" on page 2409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2411
	SettlementPlace <SttlmPlc>	[1..1]	±		2411
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2411
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2412
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2412
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2412
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2412
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2413
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2414
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2414
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2415
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2416
	AccountIdentification <AcctId>	[0..1]	Text		2416
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2416
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2417
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2418
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2418
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2419
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2419
	PartyIdentification <PtyId>	[1..1]	±		2419
	AccountIdentification <AcctId>	[0..1]	Text		2419

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2419
	PartyIdentification <PtyId>	[1..1]	±		2420
	AccountIdentification <AcctId>	[0..1]	Text		2420

#### 52.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 52.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 52.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 52.4.5.10.31 RequestedNAVCurrency <ReqdNAVCCy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **52.4.5.10.32 Refund <Rfnd>**

*Presence:* [0..1]

*Definition:* Return of cash that has been overpaid for a subscription.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **52.4.5.10.33 SubscriptionInterest <SbcptIntrst>**

*Presence:* [0..1]

*Definition:* Interest received when a subscription amount is paid in advance and then invested by the fund.

*Impacted by:* C3 "ActiveCurrency", C11 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

**52.4.5.10.34 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction162" on page 2167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2169
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2171
	Type <Tp>	[1..1]	CodeSet		2171
	Number <Nb>	[1..1]	Text		2172
	HolderName <HldrNm>	[1..1]	Text		2172
	StartDate <StartDt>	[0..1]	YearMonth		2172
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2172
	CardIssuerName <CardIssrNm>	[0..1]	Text		2172
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2172
	SecurityCode <SctyCd>	[0..1]	Text		2173
	SequenceNumber <SeqNb>	[0..1]	Text		2173
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2173
	Reference <Ref>	[0..1]	Text		2173
	Debtor <Dbtr>	[0..1]	±		2173
	DebtorAccount <DbtrAcct>	[0..1]	±		2174
	DebtorAgent <DbtrAgt>	[0..1]	±		2174
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2174
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2174
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2175
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2175
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2175
	CreditorAgent <CdtrAgt>	[1..1]	±		2176
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2176
	Creditor <Cdtr>	[0..1]	±		2176
	CreditorAccount <CdtrAcct>	[1..1]	±		2176
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2177
Or	ChequeDetails <ChqDtls>	[1..1]			2177
	Number <Nb>	[0..1]	Text		2177
	PayeeIdentification <Pyeeld>	[1..1]	±		2178
	DraweeIdentification <Drweeld>	[0..1]	±		2178

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2178
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2178
	Number <Nb>	[0..1]	Text		2179
	PayeeIdentification <Pyeeld>	[1..1]	±		2179
	DraweeIdentification <Drweeld>	[0..1]	±		2179
	DrawerIdentification <Drwrlid>	[0..1]	±		2179
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2180
	AccountIdentification <AcctId>	[0..1]	Text		2180
	Type <Tp>	[0..1]	±		2180

#### 52.4.5.10.35 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 52.4.5.10.36 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 52.4.5.10.37 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2835

#### 52.4.5.10.38 StaffClientBreakdown <StffClntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffClntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

**52.4.5.10.39 FinancialAdvice <FinAdv<***Presence:* [0..1]*Definition:* Specifies if advice has been received from an independent financial advisor.*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**52.4.5.10.40 NegotiatedTrade <NgtdTrad<***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**52.4.5.10.41 LateReport <LateRpt<***Presence:* [0..1]*Definition:* Specifies whether the order execution confirmation is late.*Datatype:* "LateReport1Code" on page 2762

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**52.4.5.10.42 RelatedPartyDetails <RltdPtyDtls<***Presence:* [0..10]*Definition:* Party related to the transaction.*Impacted by:* C22 "OrderOriginatorEligibility1Rule"



**RelatedPartyDetails <RltdPtyDtIs>** contains the following elements (see ["Intermediary49"](#) on page 2105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2106
	Account <Acct>	[0..1]			2106
	Identification <Id>	[1..1]	Text		2106
	AccountServicer <AcctSvcr>	[0..1]	±		2106
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		2107
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2107
	Role <Role>	[0..1]	±		2107

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 52.4.5.10.43 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

*Impacted by:* [C9 "ContingentLiquidationMethodologyTypeRule"](#), [C15 "DepreciationDepositMethodologyTypeRule"](#), [C17 "EqualisationCreditMethodologyTypeRule"](#)

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation4"](#) on page 1762 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1763
	Rate <Rate>	[0..1]	Rate		1764
	EqualisationMethodologyType <EqulstnMthdlyTp>	[0..1]	CodeSet		1764
	ContingentLiquidationPerUnit <CntngntLqdtPerUnit>	[0..1]	Amount	C2, C10	1764
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1765
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1765
	HighWatermark <HghWtrmrk>	[0..1]	Amount	C2, C10	1766
	GrossAssetValue <GrssAsstVal>	[0..1]	Amount	C2, C10	1766

#### Constraints

- **ContingentLiquidationMethodologyTypeRule**

Contingent Liquidation per Unit can only be used with Contingent Liquidation Methodology Type.

On Condition  
 /EqualisationMethodologyType is equal to value 'ContingentLiquidation'  
 Following Must be True  
 /DepreciationDepositPerUnit Must be absent  
 And /EqualisationCreditPerUnit Must be absent

- **DepreciationDepositMethodologyTypeRule**

Depreciation Deposit per Unit can only be used with Depreciation Deposit Methodology Type.

On Condition  
 /EqualisationMethodologyType is equal to value 'DepreciationDeposit'  
 Following Must be True  
 /ContingentLiquidationPerUnit Must be absent  
 And /EqualisationCreditPerUnit Must be absent

- **EqualisationCreditMethodologyTypeRule**

Equalisation Credit per Unit can only be used with Equalisation Credit Methodology Type.

On Condition  
 /EqualisationMethodologyType is equal to value 'EqualisationCredit'  
 Following Must be True  
 /ContingentLiquidationPerUnit Must be absent  
 And /DepreciationDepositPerUnit Must be absent

#### 52.4.5.10.44 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "[SourceOfCash1Choice](#)" on page 2270 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2270
Or}	Proprietary <Prtry>	[1..1]	±		2271

#### 52.4.5.10.45 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 52.4.5.10.46 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 52.4.5.10.47 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "[SignatureType1Choice](#)" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 52.4.5.10.48 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* [C38 "WaiverElementRule"](#)

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "[OrderWaiver1](#)" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 52.4.5.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* [C3 "ActiveCurrency"](#), [C11 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

**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.

**52.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction162" on page 2167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2169
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2171
	Type <Tp>	[1..1]	CodeSet		2171
	Number <Nb>	[1..1]	Text		2172
	HolderName <HldrNm>	[1..1]	Text		2172
	StartDate <StartDt>	[0..1]	YearMonth		2172
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2172
	CardIssuerName <CardIssrNm>	[0..1]	Text		2172
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2172
	SecurityCode <SctyCd>	[0..1]	Text		2173
	SequenceNumber <SeqNb>	[0..1]	Text		2173
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2173
	Reference <Ref>	[0..1]	Text		2173
	Debtor <Dbtr>	[0..1]	±		2173
	DebtorAccount <DbtrAcct>	[0..1]	±		2174
	DebtorAgent <DbtrAgt>	[0..1]	±		2174
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2174
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2174
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2175
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2175
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2175
	CreditorAgent <CdtrAgt>	[1..1]	±		2176
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2176
	Creditor <Cdtr>	[0..1]	±		2176
	CreditorAccount <CdtrAcct>	[1..1]	±		2176
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2177
Or	ChequeDetails <ChqDtls>	[1..1]			2177
	Number <Nb>	[0..1]	Text		2177
	PayeeIdentification <Pyeeld>	[1..1]	±		2178
	DraweeIdentification <Drweeld>	[0..1]	±		2178

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2178
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2178
	Number <Nb>	[0..1]	Text		2179
	PayeeIdentification <PyeeId>	[1..1]	±		2179
	DraweeIdentification <DrweeId>	[0..1]	±		2179
	DrawerIdentification <DrwrlId>	[0..1]	±		2179
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2180
	AccountIdentification <AcctId>	[0..1]	Text		2180
	Type <Tp>	[0..1]	±		2180

## 52.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

## 52.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C18 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 53      **setr.013.001.04** **SwitchOrderV04**

## 53.1    **MessageDefinition Functionality**

### Scope

The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial instrument or instruments for a specified amount/quantity.

### Usage

The SwitchOrder message is used to either:

- instruct one switch transaction comprising one or more redemption legs and one or more subscription legs, that is, a single switch transaction that can be a one to one, many to one, many to many or one to many switch transaction, or,
- instruct one or many switch transactions each comprising one redemption leg and one subscription leg, that is, multiple simple switch transactions.

The SwitchOrder message may be used to either:

- instruct a switch transaction for one investment account, or,
- instruct a switch transaction for separate accounts at the redemption and subscription leg levels.

The message caters for a switch from one financial instrument to another financial instrument (within the same fund family), many to one, many to many and one to many.

The message caters for switch transactions that result in an additional cash payment from the investor or a transaction that results in a net payment to the investor. Not all institutions or funds permit this type of switch and acceptance is therefore not automatic.

There is no limitation on the number of switch legs in a switch message. The number allowed is defined by the fund prospectus or by the service level agreement (SLA) in place between the two parties. However, if the SwitchOrderDetails sequence is present more than once, then the RedemptionLegDetails and SubscriptionLegDetails sequences may only be present once.

If SwitchOrderDetails\InvestmentAccount is used, then the InvestmentAccountDetails sequences in SubscriptionLegDetails and RedemptionLegDetails are not allowed. This functionality is to be used by institutions that set up two accounts per investor, rather than one investment account.

There is no switch driver type in the message to indicate whether the switch is buy or sell driven. A driver is not needed since it is possible to indicate the total subscription amount or the total redemption amount. Only one of these two amounts should be used.

The subscription quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be subscribed to, for example, the subscription of EUR 1,000 of financial instrument ISIN LU1234567890 or

- Unit: the number of units of the financial instrument to be subscribed to, for example, the subscription of 10 units of financial instrument ISIN LU1234567890 or
- Percentage of the total redemption amount: when the switch transaction is redemption driven, it is the part of the redemption amount that must be switched to a specific financial instrument, for example, the subscription quantity of financial instrument ISIN LU1234567890 represents 50% of the redemption amount of the financial instrument ISIN LU4444444444.

The redemption quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be redeemed, for example, the redemption of EUR 1,000 of financial instrument ISIN LU1234567890, or
- Unit: the number of units of financial instrument to be redeemed, for example, the redemption of 10 units of financial instrument ISIN LU1234567890, or
- Rate: the part of the portfolio to be redeemed, for example, the redemption of 10% of the holdings in financial instrument ISIN LU1234567890, or
- Percentage of the total subscription amount: when the switch transaction is subscription driven, it is the part of the subscription amount that must be the result of the redemption of a specific financial instrument, for example, the redemption quantity in financial instrument ABC represents 50% of the subscription amount of the financial instrument ISIN LU4444444444.

#### Outline

The SwitchOrderV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MessagePagination

Pagination of the message.

E. SwitchOrderDetails

Information related to the switch order.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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



## 53.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrd>	[1..1]		C19	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1130
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1130
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1131
	<b>MessagePagination</b> <MsgPgntn>	[0..1]	±		1131
	<b>SwitchOrderDetails</b> <SwchOrdRtDtls>	[1..*]		C15, C18, C22	1131
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1134
	<b>OrderDateTime</b> <OrdRdtTm>	[0..1]	DateTime		1135
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1135
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		1135
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1135
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1135
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C20	1136
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1136
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C7	1137
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1137
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1137
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		1138
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		1138
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1138
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C23, C25	1138
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1140
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1140
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1141
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1141
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		1141
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1141
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1142

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		1142
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1142
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1143
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1143
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1143
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1144
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1144
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1145
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1145
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1146
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1146
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1148
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1148
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1148
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1148
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C24, C26	1148
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1150
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1150
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1151
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1151
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		1151
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1151
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1152
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1152
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1153
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1153
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1153
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1154
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1154

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1154
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1155
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1156
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1158
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1158
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1158
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1158
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1158
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		1162
	<b>FinancialAdvice</b> <FinAdvc>	[0..1]	CodeSet		1163
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1163
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1163
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1163
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1164
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C32	1164
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1164
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	1165

## 53.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 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.

### C3 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C4 AnyBIC**

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

**C5 BICFI**

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

**C6 Country**

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

**C7 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C8 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C9 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C10 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C11 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C14 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C15 FinancialInstrumentQuantity1Rule**

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C18 InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

**C19 MultipleSwitchOrderRule**

If SwitchOrderDetails is present more than once, then SwitchOrderDetails/RedemptionLegDetails and SwitchOrderDetails/SubscriptionLegDetails must only be present once.

*This constraint is defined at the MessageDefinition level.*

**C20 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C21 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C22 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 53.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 53.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 53.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

### 53.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

### 53.4.4 MessagePagination <MsgPgntn>

*Presence:* [0..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

### 53.4.5 SwitchOrderDetails <SwchOrdDtls>

*Presence:* [1..\*]

*Definition:* Information related to the switch order.

*Impacted by:* [C15 "FinancialInstrumentQuantity1Rule"](#), [C18 "InvestmentAccountDetailsRule"](#), [C22 "OrderOriginatorEligibility3Rule"](#)

**SwitchOrderDetails** <SwchOrdDtls> contains the following **SwitchOrder7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1134
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		1135
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1135
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1135
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1135
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1135
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C20	1136
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1136
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C7	1137
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1137
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1137
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		1138
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		1138
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1138
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C23, C25	1138
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1140
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1140
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1141
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1141
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		1141
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1141
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1142
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		1142
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1142
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1143
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1143
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1143
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1144
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1144



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1145
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1145
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1146
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1146
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1148
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1148
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1148
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1148
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C24, C26	1148
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1150
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1150
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1151
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1151
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		1151
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1151
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1152
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1152
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1153
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1153
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1153
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1154
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1154
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1154
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1155
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1156
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1158
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1158

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1158
	<b>Equalisation</b> <Equlstrn>	[0..1]	±		1158
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1158
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		1162
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1163
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1163
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1163
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1163
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1164
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	1164

#### Constraints

- **FinancialInstrumentQuantity1Rule**

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

- **InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

#### 53.4.5.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2837

**53.4.5.2 OrderDateTime <OrdrDtTm>***Presence:* [0..1]*Definition:* Date and time the order is placed by the investor or its agent.*Datatype:* "ISODateTime" on page 2822**53.4.5.3 PlaceOfTrade <PlcOfTrad>***Presence:* [0..1]*Definition:* Market in which the advised trade transaction was executed.**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

**53.4.5.4 OrderReference <OrdrRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**53.4.5.5 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**53.4.5.6 InvestmentAccountDetails <InvstmtAcctDtls>***Presence:* [0..1]*Definition:* Account impacted by the investment fund order.*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 53.4.5.7 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C20 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 53.4.5.8 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

### 53.4.5.9 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C7 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

### 53.4.5.10 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

### 53.4.5.11 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**53.4.5.12 AdditionalAmount <AddtlAmt>***Presence:* [0..1]*Definition:* Choice between additional cash in or resulting cash out.**AdditionalAmount <AddtlAmt>** contains one of the following elements (see ["AdditionalAmount1Choice"](#) on page 1820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C2, C10	1820
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C2, C10	1820

**53.4.5.13 ExpiryDateTime <XpryDtTm>***Presence:* [0..1]*Definition:* Date on which the order expires.**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**53.4.5.14 CancellationRight <CxIRght>***Presence:* [0..1]*Definition:* Cancellation right of the investor with respect to the investment fund order.**CancellationRight <CxIRght>** contains one of the following elements (see ["CancellationRight1Choice"](#) on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

**53.4.5.15 RedemptionLegDetails <RedLegDtls>***Presence:* [1..\*]*Definition:* Part of the investment fund switch order that is a redemption.*Impacted by:* [C23 "PhysicalDeliveryDetails1Rule"](#), [C25 "PhysicalDeliveryDetails2Rule"](#)

**RedemptionLegDetails <RedLegDtls>** contains the following **SwitchRedemptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1140
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1140
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1141
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1141
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		1141
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1141
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1142
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		1142
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1142
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1143
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1143
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1143
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C3	1144
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1144
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1145
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1145
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1146
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1146
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1148
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1148
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1148
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1148

#### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True  
 /PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition  
 /PhysicalDeliveryIndicator is equal to value 'true'  
 Or /PhysicalDeliveryIndicator is equal to value '1'  
 Following Must be True  
 /PhysicalDeliveryDetails Must be present

#### 53.4.5.15.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### 53.4.5.15.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the redemption leg of the order.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.



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

### 53.4.5.15.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

*Presence:* [0..1]

*Definition:* Amount of money, number of units or percentage for the subscription leg of the switch order.

**FinancialInstrumentQuantityChoice <FinInstrmQtyChc>** contains one of the following **FinancialInstrumentQuantity29Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1141
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		1141
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1141
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1142
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		1142

#### 53.4.5.15.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "DecimalNumber" on page 2834

#### 53.4.5.15.3.2 PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>

*Presence:* [1..1]

*Definition:* Percentage of the total switch amount (buy-driven) to be invested in a particular investment fund or investment fund class.

*Datatype:* "PercentageRate" on page 2835

#### 53.4.5.15.3.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be 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.

#### **53.4.5.15.3.4 GrossAmount <GrssAmt>**

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### **53.4.5.15.3.5 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2835

#### **53.4.5.15.4 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 53.4.5.15.5 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 53.4.5.15.6 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 53.4.5.15.7 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 53.4.5.15.8 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 53.4.5.15.9 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C14 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1145
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1145
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1146

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**53.4.5.15.9.1 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**53.4.5.15.9.2 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C13 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

**Constraints**

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**53.4.5.15.9.3 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

**53.4.5.15.10 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2420 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 53.4.5.15.11 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 53.4.5.15.12 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 53.4.5.15.13 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2837

#### 53.4.5.15.14 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 53.4.5.16 SubscriptionLegDetails <SbcptLegDtls>

*Presence:* [1..\*]



*Definition:* Part of the investment fund switch order that is a subscription.

*Impacted by:* C24 "PhysicalDeliveryDetails1Rule", C26 "PhysicalDeliveryDetails2Rule"

**SubscriptionLegDetails <SbcptLegDtls>** contains the following **SwitchSubscriptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1150
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	1150
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			1151
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1151
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		1151
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1151
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1152
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	1152
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1153
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1153
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1153
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	1154
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1154
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1154
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1155
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1156
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1158
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1158
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1158
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1158

#### Constraints

##### • PhysicalDeliveryDetails1Rule

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True  
 /PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition  
 /PhysicalDeliveryIndicator is equal to value 'true'  
 Or /PhysicalDeliveryIndicator is equal to value '1'  
 Following Must be True  
 /PhysicalDeliveryDetails Must be present

#### 53.4.5.16.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### 53.4.5.16.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the subscription leg of the order.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

### 53.4.5.16.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

*Presence:* [0..1]

*Definition:* Amount of money, number of units or percentage for the redemption leg of the switch order.

**FinancialInstrumentQuantityChoice <FinInstrmQtyChc>** contains one of the following **FinancialInstrumentQuantity26Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1151
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		1151
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	1151
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	1152

#### 53.4.5.16.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "DecimalNumber" on page 2834

#### 53.4.5.16.3.2 PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>

*Presence:* [1..1]

*Definition:* Percentage of the total redemption amount used for the subscription in an investment fund or investment fund class.

*Datatype:* "PercentageRate" on page 2835

#### 53.4.5.16.3.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 53.4.5.16.3.4 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 53.4.5.16.4 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**53.4.5.16.5 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

**53.4.5.16.6 RequestedSettlementCurrency <ReqdSttlmCcy>**

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**53.4.5.16.7 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 53.4.5.16.8 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the net amount.

*Impacted by:* C14 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1154
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	1154
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1155

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

##### 53.4.5.16.8.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

##### 53.4.5.16.8.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C13 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 53.4.5.16.8.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2556 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 53.4.5.16.9 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.



**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2431 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 53.4.5.16.10 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 53.4.5.16.11 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

#### 53.4.5.16.12 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2837

#### 53.4.5.16.13 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 53.4.5.17 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction71" on page 2180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2183
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2186
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2188
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2190
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2194
Or	ChequeDetails <ChqDtls>	[1..1]			2194
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <PyeeId>	[1..1]	±		2195

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2195
	Drawerldentification <Drwrlld>	[0..1]	±		2195
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2195
	Number <Nb>	[0..1]	Text		2196
	Payeeldentification <Pyeeld>	[1..1]	±		2196
	Draweeldentification <Drweeld>	[0..1]	±		2196
	Drawerldentification <Drwrlld>	[0..1]	±		2196
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2197
	Accountldentification <Acctld>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2197
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2198
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202
Or	ChequeDetails <ChqDtls>	[1..1]			2202
	Number <Nb>	[0..1]	Text		2203
	Payeeldentification <Pyeeld>	[1..1]	±		2203
	Draweeldentification <Drweeld>	[0..1]	±		2203
	Drawerldentification <Drwrlld>	[0..1]	±		2203
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2204

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2204
	PayeeIdentification <PyeeId>	[1..1]	±		2204
	DraweeIdentification <DrweeId>	[0..1]	±		2204
	DrawerIdentification <DrwrId>	[0..1]	±		2205
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2205
	AccountIdentification <AcctId>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

### 53.4.5.18 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

#### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

#### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1553 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

**53.4.5.19 FinancialAdvice <FinAdv>***Presence:* [0..1]*Definition:* Specifies if advice has been received from an independent financial advisor.*Datatype:* "FinancialAdvice1Code" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**53.4.5.20 NegotiatedTrade <NgtdTrad>***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**53.4.5.21 CustomerConductClassification <CstmrCndctClssfctn>***Presence:* [0..1]*Definition:* Assessment of the customer's behaviour at the time of the account opening application.**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

**53.4.5.22 TransactionChannelType <TxChanlTp>***Presence:* [0..1]*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

### 53.4.5.23 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

### 53.4.5.24 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C32 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 53.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.



**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 53.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "[ExtensionRule](#)"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 54      **setr.014.001.04**

## **SwitchOrderCancellationRequestV04**

### 54.1    **MessageDefinition Functionality**

#### Scope

The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.

#### Usage

The SwitchOrderCancellationRequest is used to cancel the entire previously sent SwitchOrder instruction/s and all the individual legs that it contains. There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a switch order, the order reference of the original switch order is quoted in the order reference element. The message identification of the SwitchOrder message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation request.

The rejection or acceptance of a SwitchOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The SwitchOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences  
Identification of the individual order to be cancelled.
- F. CopyDetails  
Information provided when the message is a copy of a previous message.

## 54.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdxCxlReq>	[1..1]		C3	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1167
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1168
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		1168
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1168
	<b>OrderReferences</b> <OrdRefs>	[1..*]			1168
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1169
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1169
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1169
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1169
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1169

## 54.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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 SwitchRule

The cancellation of a switch order must be a full cancellation. Partial cancellations are not allowed, for example, the cancellation of a given leg.

*This constraint is defined at the MessageDefinition level.*

## 54.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 54.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 54.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 54.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 54.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2837

## 54.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1169
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		1169
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1169
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1169

#### 54.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 54.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 54.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 54.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

### 54.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C5	1898

# 55      **setr.015.001.04**

## **SwitchOrderConfirmationV04**

### 55.1    **MessageDefinition Functionality**

#### Scope

The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a previously received SwitchOrder instruction.

#### Usage

The SwitchOrderConfirmation message is used to confirm that all the legs of the previously instructed switch order have been executed. The reference of the switch order confirmation is identified in DealReference.

The reference of the original switch order is specified in OrderReference. The message identification of the SwitchOrder message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

#### Outline

The SwitchOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. SwitchExecutionDetails

Information related to a switch execution.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

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

## 55.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdConf>	[1..1]		C17	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1177
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1178
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1178
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1178
	<b>SwitchExecutionDetails</b> <SwchExctnDtls>	[1..*]		C16, C21	1178
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1182
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1182
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1182
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		1182
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		1183
	<b>DealReference</b> <DealRef>	[1..1]	Text		1183
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1183
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1183
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1183
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1184
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1184
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1184
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C8	1185
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1185
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1185
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		1185
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1186
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C22, C24	1186
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1188
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1188
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1188
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1189
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		1189



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1189
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1190
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1190
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1191
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1191
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1192
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1192
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1193
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1193
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1193
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1193
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1194
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1194
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1195
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1195
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1196
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1196
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1196
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1197
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1198
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1200
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1202
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1202
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1202
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1202
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		1202
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C23, C25	1203
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1205
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1205
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1205
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1206

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1206
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1207
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1207
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1208
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1208
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1208
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1209
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1209
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1209
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1210
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1210
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1210
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1211
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1211
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1212
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1212
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1212
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1213
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1214
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1216
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1218
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1218
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1218
	<b>Equalisation</b> <Equlstr>	[0..1]	±		1218
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1218
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1222
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1223
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1223
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1223
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1224
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1224

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1224
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C31	1224
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1225
	<b>Extension</b> <Xtnsn>	[0..*]	±	C13	1225

## 55.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 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.

### C3 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C4 AnyBIC

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

### C5 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C6 BICFI

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

### C7 Country

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

### C8 CurrencyAmount

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

Note: The decimal separator is a dot.

### C9 CurrencyAmount

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

Note: The decimal separator is a dot.

**C10 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present.  
If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C11 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C14 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C15 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C16 InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/  
InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

**C17 MultipleSwitchExecutionRule**

If SwitchExecutionDetails is present more than once, then SwitchExecutionDetails/  
RedemptionLegDetails and SwitchExecutionDetails/SubscriptionLegDetails must only be present once.

*This constraint is defined at the MessageDefinition level.*

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

**C22 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.

If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C27 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C30 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C31 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 55.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 55.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 55.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 55.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 55.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 55.4.5 SwitchExecutionDetails <SwchExctnDtls>

*Presence:* [1..\*]

*Definition:* Information related to a switch execution.

*Impacted by:* [C16 "InvestmentAccountDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#)

**SwitchExecutionDetails** <SwchExctnDtls> contains the following **SwitchExecution7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		1182
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1182
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		1182
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		1182
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		1183
	<b>DealReference</b> <DealRef>	[1..1]	Text		1183
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1183
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1183
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1183
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	1184
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		1184
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		1184
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C8	1185
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		1185
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		1185
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		1185
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		1186
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C22, C24	1186
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1188
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1188
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1188
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1189
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		1189
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1189
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1190
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1190
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1191
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1191
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1192
	<b>CumDividendIndicator</b> <CumDvddlnd>	[1..1]	Indicator		1192

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1193
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1193
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1193
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1193
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1194
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1194
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1195
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1195
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C2, C8	1196
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1196
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1196
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1197
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1198
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1200
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1202
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1202
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1202
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1202
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		1202
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C23, C25	1203
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1205
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1205
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1205
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1206
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1206
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1207
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1207
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1208
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1208
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1208



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1209
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1209
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1209
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1210
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C3	1210
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1210
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1211
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1211
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1212
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		1212
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1212
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1213
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1214
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1216
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1218
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1218
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1218
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1218
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		1218
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		1222
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		1223
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		1223
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		1223
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		1224
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		1224
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		1224
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C31	1224

**Constraints**

- **InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

**55.4.5.1 AmendmentIndicator <AmdmntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**55.4.5.2 MasterReference <MstrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* ["Max35Text" on page 2837](#)

**55.4.5.3 PlaceOfTrade <PlcOfTrad>**

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see ["PlaceOfTradeIdentification1Choice" on page 1862](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

**55.4.5.4 OrderDateTime <OrdrDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* ["ISODateTime" on page 2822](#)

**55.4.5.5 ReceivedDateTime <RcvdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2822

**55.4.5.6 DealReference <DealRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

**55.4.5.7 OrderReference <OrdrRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

**55.4.5.8 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

**55.4.5.9 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**55.4.5.10 RelatedPartyDetails <RltdPtyDtls>**

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 2031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2031
	Account <Acct>	[0..1]			2032
	Identification <Id>	[1..1]	Text		2032
	AccountServicer <AcctSvcr>	[0..1]	±		2032
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		2032
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2033
	Role <Role>	[0..1]	±		2033

**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**55.4.5.11 CancellationRight <CxIRght>**

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

**55.4.5.12 RequestedFutureTradeDate <ReqdFutrTradDt>**

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2822

#### 55.4.5.13 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 55.4.5.14 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 55.4.5.15 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 55.4.5.16 AdditionalAmount <AddtlAmt>

*Presence:* [0..1]

*Definition:* Choice between additional cash in or resulting cash out.

**AdditionalAmount <AddtlAmt>** contains one of the following elements (see "AdditionalAmount1Choice" on page 1820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C2, C10	1820
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C2, C10	1820

#### 55.4.5.17 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2713

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 55.4.5.18 RedemptionLegDetails <RedLegDtls>

*Presence:* [1..\*]

*Definition:* Redemption leg of a switch order execution.

*Impacted by:* C22 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule"

**RedemptionLegDetails <RedLegDtls>** contains the following **SwitchRedemptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1188
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1188
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1188
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1189
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		1189
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1189
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1190
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1190
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1191
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1191
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1192
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1192
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1193
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1193
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		1193
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1193
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1194
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1194
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1195
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1195
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1196
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1196
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1196
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1197
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1198
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1200
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1202
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1202
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1202
	<b>Equalisation</b> <Equlstr>	[0..1]	±		1202

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		1202

#### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 55.4.5.18.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2837

#### 55.4.5.18.2 LegExecutionIdentification <LegExctnId>

*Presence:* [0..1]

*Definition:* Unique identifier for the instance of the leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

#### 55.4.5.18.3 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the redemption leg of the investment fund order execution is related.

*Impacted by:* C15 "IdentificationGuideline"



**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 55.4.5.18.4 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment funds units redeemed.

*Datatype:* "DecimalNumber" on page 2834

#### 55.4.5.18.5 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2835

#### 55.4.5.18.6 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.18.7 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.18.8 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 55.4.5.18.9 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 55.4.5.18.10 PriceDetails <PricDtls>

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 55.4.5.18.11 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 55.4.5.18.12 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 55.4.5.18.13 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "[ProfitAndLoss2Choice](#)" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

#### 55.4.5.18.14 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 55.4.5.18.15 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "[UKTaxGroupUnit1Code](#)" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 55.4.5.18.16 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyCode](#)" on page 2711

**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.

**55.4.5.18.17 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**55.4.5.18.18 TransactionOverhead <TxOvrhd>**

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLAReferenceRule"](#), [C30 "TransactionOverheadElementRule"](#)

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1195
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1195
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1196
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1196
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1196
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1197

**Constraints**

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**55.4.5.18.18.1 TotalOverheadApplied <TtlOvrhdApId>**

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.18.18.2 TotalFees <TtlFees>**

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.18.18.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.18.18.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**55.4.5.18.18.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C5 "AppliedAmountRule"



**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1397
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399
	Basis <Bsis>	[0..1]			1399
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1400
	StandardRate <StdRate>	[0..1]	Rate		1400
	DiscountDetails <DscntDtls>	[0..1]		C18	1400
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C1, C13	1403
	AppliedRate <ApIdRate>	[0..1]	Rate		1403
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1403
	RecipientIdentification <RcptId>	[0..1]	±		1403
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1403

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 55.4.5.18.18.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2565
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2567
	AppliedRate <ApldRate>	[0..1]	Rate		2568
	Country <Ctry>	[0..1]	CodeSet	C12	2568
	RecipientIdentification <RcptId>	[0..1]	±		2568
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2568
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

#### 55.4.5.18.19 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C29 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2603
	EUCapitalGain <EUCptlGn>	[0..1]			2604
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604
	EUDividendStatus <EUDvddSts>	[0..1]			2605
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2606
	IndividualTax <IndvTax>	[0..*]			2606
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <Rcptld>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**55.4.5.18.20 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2431 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 55.4.5.18.21 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 55.4.5.18.22 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 55.4.5.18.23 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2837

#### 55.4.5.18.24 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 55.4.5.18.25 GatingOrHoldBackDetails <GtgOrHldBckDtls>

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see "HoldBackInformation2" on page 1829 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1829
	Amount <Amt>	[0..1]	Amount	C1, C13	1829
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1830
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1830
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1831
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1831
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1832

#### 55.4.5.19 SubscriptionLegDetails <SbcptLegDtls>

*Presence:* [1..\*]

*Definition:* Subscription leg of a switch order execution.

*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule"

**SubscriptionLegDetails <SbcptLegDtls>** contains the following **SwitchSubscriptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		1205
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		1205
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	1205
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		1206
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	1206
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	1207
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	1207
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		1208
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		1208
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		1208
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		1209
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		1209
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		1209
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	1210
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	1210
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	1210
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1211
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1211
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C2, C8	1212
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1212
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1212
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1213
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	1214
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		1216
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		1218
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		1218
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		1218
	<b>Equalisation</b> <Equlstn>	[0..1]	±		1218



**Constraints**

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

**55.4.5.19.1 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2837

**55.4.5.19.2 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for the instance of the leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2837

**55.4.5.19.3 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [1..1]

*Definition:* Investment fund class to which the subscription leg of the investment fund order execution is related.

*Impacted by:* C15 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 55.4.5.19.4 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2834

#### 55.4.5.19.5 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 55.4.5.19.6 GrossAmount <GrssAmt>

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 55.4.5.19.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**55.4.5.19.8 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**55.4.5.19.9 PriceDetails <PricDtls>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "[UnitPrice22](#)" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

**55.4.5.19.10 InformativePriceDetails <InfvtvPricDtls>**

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

#### 55.4.5.19.11 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 55.4.5.19.12 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

#### 55.4.5.19.13 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 55.4.5.19.14 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 55.4.5.19.15 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 55.4.5.19.16 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C18 "NonStandardsSLAResourceRule", C30 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	1211
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	1211
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	1212
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		1212
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	1212
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		1213

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 55.4.5.19.16.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 55.4.5.19.16.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.19.16.3 TotalTaxes <TtITaxs>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**55.4.5.19.16.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**55.4.5.19.16.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C5 "AppliedAmountRule"



**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1397
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399
	Basis <Bsis>	[0..1]			1399
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1400
	StandardRate <StdRate>	[0..1]	Rate		1400
	DiscountDetails <DscntDtls>	[0..1]		C18	1400
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1403
	AppliedRate <ApldRate>	[0..1]	Rate		1403
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1403
	RecipientIdentification <RcptId>	[0..1]	±		1403
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1403

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 55.4.5.19.16.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2565
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2567
	AppliedRate <ApldRate>	[0..1]	Rate		2568
	Country <Ctry>	[0..1]	CodeSet	C12	2568
	RecipientIdentification <RcptId>	[0..1]	±		2568
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2568
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

#### 55.4.5.19.17 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C29 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2603
	EUCapitalGain <EUCptlGn>	[0..1]			2604
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604
	EUDividendStatus <EUDvddSts>	[0..1]			2605
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2606
	IndividualTax <IndvTax>	[0..*]			2606
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <Rcptld>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**55.4.5.19.18 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2420 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrAgDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 55.4.5.19.19 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 55.4.5.19.20 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2319 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

#### 55.4.5.19.21 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2837

#### 55.4.5.19.22 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1821 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 55.4.5.20 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction71" on page 2180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2183
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2186
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2188
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2190
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2194
Or	ChequeDetails <ChqDtls>	[1..1]			2194
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <PyeeId>	[1..1]	±		2195



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DraweeIdentification <Drweeld>	[0..1]	±		2195
	DrawerIdentification <Drwrlid>	[0..1]	±		2195
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2195
	Number <Nb>	[0..1]	Text		2196
	PayeeIdentification <Pyeeld>	[1..1]	±		2196
	DraweeIdentification <Drweeld>	[0..1]	±		2196
	DrawerIdentification <Drwrlid>	[0..1]	±		2196
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2197
	AccountIdentification <Acctld>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2197
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2198
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202
Or	ChequeDetails <ChqDtls>	[1..1]			2202
	Number <Nb>	[0..1]	Text		2203
	PayeeIdentification <Pyeeld>	[1..1]	±		2203
	DraweeIdentification <Drweeld>	[0..1]	±		2203
	DrawerIdentification <Drwrlid>	[0..1]	±		2203
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2204

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2204
	PayeeIdentification <PyeeId>	[1..1]	±		2204
	DraweeIdentification <DrweeId>	[0..1]	±		2204
	DrawerIdentification <DrwrId>	[0..1]	±		2205
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2205
	AccountIdentification <AcctId>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

#### 55.4.5.21 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms33](#)" on page 1549 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1549
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1549
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1550
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1550
	ExchangeRate <XchgRate>	[1..1]	Rate		1550
	QuotationDate <QtnDt>	[0..1]	DateTime		1551
	QuotingInstitution <QtgInstn>	[0..1]	±		1551

#### 55.4.5.22 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "[FinancialAdvice1Code](#)" on page 2738

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 55.4.5.23 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "[NegotiatedTrade1Code](#)" on page 2765

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 55.4.5.24 LateReport <LateRpt>

*Presence:* [0..1]

*Definition:* Specifies whether the order execution confirmation is late.

*Datatype:* "[LateReport1Code](#)" on page 2762

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

#### 55.4.5.25 CustomerConductClassification <CstmrCndctClsfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClsfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 55.4.5.26 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 55.4.5.27 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 55.4.5.28 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C31 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "[OrderWaiver1](#)" on page 1833 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 55.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 55.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C13 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 56      **setr.016.001.04**

## **OrderInstructionStatusReportV04**

### **56.1    MessageDefinition Functionality**

#### Scope

The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.

#### Usage

The OrderInstructionStatusReport message is used to report on the status of a subscription, redemption or a switch order.

The OrderInstructionStatusReport message may be used to give the status of:

- one order message by using OrderDetailsReport or,
- one or more individual order instructions by using IndividualOrderDetailsReport, or
- one or more switch orders by using SwitchOrderDetailsReport.

If the OrderInstructionStatusReport message is used to report the status of an individual order, then IndividualOrderDetailsReport is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of a switch order, then SwitchOrderDetailsReport is used and the order reference of the switch order is quoted in OrderReference. The message identification of the message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of an entire order message, for example, the SubscriptionBulkOrder, or a SubscriptionOrder containing several orders, then OrderDetailsReport is used and the message identification of the order message is quoted in RelatedReference. All the orders within the message must have the same status.

One of the following statuses can be reported:

- an accepted status, or,
- an already executed status, or,
- a sent to next party status, or,
- a received status, or,
- a settled status, or,
- a communication problem with next party status, or,

- a confirmation amendment status, or,
- a done for the day status, or,
- a partially done status, or,
- an open status, or,
- a cancelled status, or
- a conditionally accepted status, or,
- a rejected status, or,
- a suspended status, or,
- a partially settled status, or,
- an in-repair status (only for an individual or switch order).

For a switch order, the OrderInstructionStatusReport message provides the status of the whole switch order, that is, it is not possible to accept one leg and to reject the other leg: the entire switch order has to be rejected. In order to identify the legs within the switch that are causing the problem, the leg is identified in either the RedemptionLegIdentification or SubscriptionLegIdentification elements.

When the OrderInstructionStatusReport is used to give the status of an individual or a switch order, the following can be specified:

- repaired conditions (for a switch, this is at the level of a leg),
- information related to the order, for example, settlement amount, number of units, expected trade date.

#### Outline

The OrderInstructionStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. Reference

Reference to the message or communication that was previously received.

C. StatusReport

Status of the order.

D. Extension

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

## 56.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrInstrStsRpt>	[1..1]		C14, C17	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1230
	<b>Reference</b> <Ref>	[0..1]	±		1230
	<b>StatusReport</b> <StsRpt>	[1..1]	±		1230
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	1232

## 56.3 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 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditionalInformationRule

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

### C4 AnyBIC

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

### C5 CancelledElementRule

Either Reason or AdditionalInformation must be present. Both may be present.

### C6 CommercialAgreementRule

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

### C7 Country

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

### C8 CurrencyAmount

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



Note: The decimal separator is a dot.

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

**C13 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C14 MessageNameAndReferenceGuideline**

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.001, setr.004, setr.007, setr.010, setr.013, setr.019 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C15 OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

**C16 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C17 OtherReferenceGuideline**

Reference/OtherReference should be used to reference an order instruction sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C18 RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**C19 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C20 SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

## 56.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 56.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 56.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References61Choice](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1577
Or}	OtherReference <OthrRef>	[1..2]	±		1577

### 56.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the order.

**StatusReport <StsRpt>** contains one of the following elements (see "Status24Choice" on page 2478 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdrDtlsRpt>	[1..1]	±		2480
Or	IndividualOrderDetailsReport <IndvOrdrDtlsRpt>	[1..*]			2481
	MasterReference <MstrRef>	[0..1]	Text		2481
	OrderReference <OrdrRef>	[1..1]	Text		2481
	ClientReference <CIntRef>	[0..1]	Text		2482
	DealReference <DealRef>	[0..1]	Text		2482
	CancellationReference <CxlRef>	[0..1]	Text		2482
	OrderStatus <OrdrSts>	[1..1]			2482
{Or	Status <Sts>	[1..1]	CodeSet		2482
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2483
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2484
Or	Rejected <Rjctd>	[1..10]	±	C18	2484
Or	Suspended <Sspd>	[1..1]	±		2485
Or	InRepair <InRpr>	[1..1]	±		2485
Or}	PartiallySettled <PrtlyStltd>	[1..1]	±		2485
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2486
	StatusInitiator <StsIntr>	[0..1]	±		2487
	OrderData <OrdrData>	[0..1]	±	C15	2487
	NewDetails <NewDtls>	[0..1]	±	C10	2488
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		2488
Or}	SwitchOrderDetailsReport <SwchOrdrDtlsRpt>	[1..*]			2488
	MasterReference <MstrRef>	[0..1]	Text		2489
	OrderReference <OrdrRef>	[1..1]	Text		2489
	ClientReference <CIntRef>	[0..1]	Text		2490
	DealReference <DealRef>	[0..1]	Text		2490
	CancellationReference <CxlRef>	[0..1]	Text		2490
	OrderStatus <OrdrSts>	[1..1]			2490
{Or	Status <Sts>	[1..1]	CodeSet		2490
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2491
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2492

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Rejected <Rjctd>	[1..10]	±	C18	2492
Or	Suspended <Sspd>	[1..1]	±		2492
Or	InRepair <InRpr>	[1..1]	±		2493
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2493
	LegInformation <LegInf>	[0..*]			2494
	LegIdentification <LegId>	[1..1]			2494
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2494
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2494
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2494
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2494
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2495
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2496
	StatusInitiator <StsInitr>	[0..1]	±		2497
	OrderData <OrdData>	[0..1]	±	C20	2497
	NewDetails <NewDtls>	[0..1]	±		2497

## 56.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 57      **setr.017.001.04**

## **OrderCancellationStatusReportV04**

### **57.1    MessageDefinition Functionality**

#### Scope

The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.

#### Usage

The OrderCancellationStatusReport message is used to provide the status of:

- one or more individual order cancellation requests by using IndividualCancellationStatusReport, or,
- an order cancellation request message by using CancellationStatusReport.

If the OrderCancellationStatusReport message is used to report the status of an individual order cancellation request, then the repetitive IndividualCancellationStatusReport sequence is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderCancellationStatusReport message is used to report the status of an entire order cancellation request message, for example, the SubscriptionBulkOrderCancellationRequest, or a SubscriptionOrderCancellationRequest containing several orders, then the CancellationStatusReport sequence is used. The message identification of the order cancellation request message may also be quoted in RelatedReference but this is not recommended. All the order cancellation requests within the message must have the same status.

One of the following statuses can be reported:

- the order cancellation is pending, or,
- the order cancellation request is rejected, or,
- the order is cancelled.

When the cancellation is rejected, the reason for the rejection must be specified.

#### Outline

The OrderCancellationStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

##### B. Reference

Reference to the message or communication that was previously received.

##### C. StatusReport

Status of the order cancellation.

#### D. Extension

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

## 57.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdxCxlStsRpt>	[1..1]		C5, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1235
	<b>Reference</b> <Ref>	[0..1]	±		1235
	<b>StatusReport</b> <StsRpt>	[1..1]	±		1235
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	1236

## 57.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

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

### C5 MessageNameAndReferenceGuideline

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.002, setr.005, setr.008, setr.011, setr.014 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

### C6 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C7 OtherReferenceGuideline**

OtherReference should be used to reference an order cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C8 ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

## 57.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 57.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 57.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References61Choice](#)" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1577
Or}	OtherReference <OthrRef>	[1..2]	±		1577

### 57.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the order cancellation.

**StatusReport <StsRpt>** contains one of the following elements (see "Status26Choice" on page 2547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <Cx/StsRpt>	[1..1]			2548
	MasterReference <MstrRef>	[0..1]	Text		2548
	CancellationStatus <Cx/Sts>	[1..1]	±		2548
	StatusInitiator <StsInitr>	[0..1]	±		2549
Or}	IndividualCancellationStatusReport <IndvCx/StsRpt>	[1..*]			2549
	MasterReference <MstrRef>	[0..1]	Text		2549
	OrderReference <OrdRef>	[1..1]	Text		2550
	ClientReference <CIntRef>	[0..1]	Text		2550
	CancellationReference <Cx/Ref>	[0..1]	Text		2550
	CancellationStatus <Cx/Sts>	[1..1]	±		2550
	StatusInitiator <StsInitr>	[0..1]	±		2550
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2550
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2551

## 57.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 58      **setr.018.001.04**

## **RequestForOrderStatusReportV04**

### **58.1    MessageDefinition Functionality**

#### Scope

The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.

#### Usage

The RequestForOrderStatusReport message is used to request the status of:

- one or several individual order instructions, or,
- one or several order messages, or
- one or several individual order cancellation requests, or,
- one or several order cancellation request messages.

The response to a RequestForOrderStatusReport message is the OrderInstructionStatusReport message or OrderCancellationStatusReport message.

If the RequestForOrderStatusReport message is used to request the status of several individual order instructions or one or more order instruction messages, then the instructing party may receive several OrderInstructionStatusReport messages from the executing party.

If the RequestForOrderStatusReport message is used to request the status of several individual order cancellation requests or one or more order cancellation messages, then the instructing party may receive several OrderCancellationStatusReport messages from the executing party.

When the RequestForOrderStatusReport is used to request the status of one or more individual orders or order cancellations, each individual order is identified with its order reference. The investment account and/or financial instrument related to the order can also be identified. The message identification of the message in which the individual order was conveyed may also be quoted in PreviousReference.

When the RequestForOrderStatusReport is used to request the status of an order message or an order cancellations request message, then the message identification of the order or cancellation message is identified in PreviousReference.

The RequestForOrderStatusReport message may not be used to request the status of an investment account, a transfer or the status of a financial instrument.

#### Outline

The RequestForOrderStatusReportV04 MessageDefinition is composed of 3 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the order(s) for which the status is requested.

C. Extension

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

## 58.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdrStsRpt>	[1..1]		C6, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1239
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C8	1239
	<b>Reference</b> <Ref>	[0..1]	±		1240
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1240
	<b>OrderReference</b> <OrdrRef>	[0..*]			1241
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1241
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1241
	<b>ClientReference</b> <ClnRef>	[0..1]	Text		1241
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1242
	<b>DealReference</b> <DealRef>	[0..1]	Text		1242
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1242
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1242
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	1243

## 58.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C4 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C5 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C6 OtherReferenceGuideline**

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C7 PreviousReferenceGuideline**

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.001, setr.002, setr.004, setr.005, setr.007, setr.008, setr.010, setr.011, setr.013 or setr.014 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C8 ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

## 58.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 58.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

### 58.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the order(s) for which the status is requested.

Impacted by: C8 "ReferenceElementRule"

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]	±		1240
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1240
	<b>OrderReference</b> <OrdrRef>	[0..*]			1241
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1241
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1241
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1241
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1242
	<b>DealReference</b> <DealRef>	[0..1]	Text		1242
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1242
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1242

#### Constraints

- **ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

#### 58.4.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**Reference <Ref>** contains one of the following elements (see "References62Choice" on page 1580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..2]	±		1580
Or}	<b>OtherReference</b> <OthrRef>	[1..2]	±		1580

#### 58.4.2.2 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

### 58.4.2.3 OrderReference <OrdRef>

*Presence:* [0..\*]

*Definition:* Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.

**OrderReference <OrdRef>** contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1241
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1241
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1241
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1242
	<b>DealReference</b> <DealRef>	[0..1]	Text		1242
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1242
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1242

#### 58.4.2.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

#### 58.4.2.3.2 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

#### 58.4.2.3.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* ["Max35Text"](#) on page 2837

**58.4.2.3.4 CancellationReference <CxlRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

**58.4.2.3.5 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

**58.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction or individual order cancellation request for which the status is requested.

*Impacted by:* C5 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**58.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

## 58.4.3 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 59 setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02

## 59.1 MessageDefinition Functionality

### Scope

The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription order confirmation cancellation is to be followed by an amendment. An amendment of a subscription order confirmation is carried out by sending a SubscriptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The SubscriptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

H. CopyDetails



---

Information provided when the message is a copy of a previous message.

---

## 59.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root &lt;Document&gt; &lt;SbcptOrdrConfCxlInstr&gt;</i>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1245
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1246
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1246
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1246
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		1247
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1247
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			1247
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1247
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1248
	<b>DealReference</b> <DealRef>	[0..1]	Text		1248
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1248
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1248
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1248

## 59.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 59.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 59.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 59.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 59.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 59.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 59.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 59.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 59.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1247
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1248
	<b>DealReference</b> <DealRef>	[0..1]	Text		1248
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1248
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1248

### 59.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

**59.4.7.2 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**59.4.7.3 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**59.4.7.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**59.4.7.5 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation of the confirmation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2528 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**59.4.8 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

# 60 setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02

## 60.1 MessageDefinition Functionality

### Scope

The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription bulk order confirmation cancellation is to be followed by an amendment. An amendment of a subscription bulk order confirmation is carried out by sending a SubscriptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The SubscriptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

## H. CopyDetails

Message is a copy.

## 60.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1250
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1251
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1251
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1251
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		1252
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1252
	<b>OrderReferences</b> <OrdRefs>	[1..*]			1252
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1252
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1253
	<b>DealReference</b> <DealRef>	[0..1]	Text		1253
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1253
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1253
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1253

## 60.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 60.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 60.4.1 MessageIdentification <MsgId>

Presence: [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 60.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 60.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 60.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 60.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 60.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 60.4.7 OrderReferences <OrdrRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1252
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1253
	<b>DealReference</b> <DealRef>	[0..1]	Text		1253
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1253
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1253

### 60.4.7.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837



**60.4.7.2 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**60.4.7.3 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**60.4.7.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**60.4.7.5 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation of the confirmation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2528 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**60.4.8 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Message is a copy.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

# 61 setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02

## 61.1 MessageDefinition Functionality

### Scope

The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The RedemptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

H. CopyDetails

---

Information provided when the message is a copy of a previous message.

---

## 61.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <RedOrdConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1255
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1256
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1256
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1256
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		1257
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1257
	<b>OrderReferences</b> <OrdRefs>	[1..*]			1257
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1257
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1258
	<b>DealReference</b> <DealRef>	[0..1]	Text		1258
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1258
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1258
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1258

## 61.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 61.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 61.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 61.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 61.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 61.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 61.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 61.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 61.4.7 OrderReferences <OrdrRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1257
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1258
	<b>DealReference</b> <DealRef>	[0..1]	Text		1258
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1258
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1258

### 61.4.7.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

**61.4.7.2 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**61.4.7.3 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**61.4.7.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**61.4.7.5 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation of the confirmation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2528 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**61.4.8 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

## 62 setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02

### 62.1 MessageDefinition Functionality

#### Scope

The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionBulkOrderConfirmation.

#### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

#### Outline

The RedemptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

**H. CopyDetails**

Information provided when the message is a copy of a previous message.

## 62.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdRConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1260
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1261
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1261
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1261
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		1262
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1262
	<b>OrderReferences</b> <OrdRRefs>	[1..*]			1262
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		1262
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1263
	<b>DealReference</b> <DealRef>	[0..1]	Text		1263
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1263
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1263
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1263

## 62.3 Constraints

**C1 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 62.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 62.4.1 MessageIdentification <MsgId>

Presence: [1..1]



*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 62.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 62.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 62.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 62.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 62.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 62.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		1262
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1263
	<b>DealReference</b> <DealRef>	[0..1]	Text		1263
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1263
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1263

### 62.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

**62.4.7.2 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**62.4.7.3 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**62.4.7.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**62.4.7.5 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation of the confirmation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2528 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**62.4.8 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

# 63 setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02

## 63.1 MessageDefinition Functionality

### Scope

The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SwitchOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SwitchOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the switch order confirmation cancellation is to be followed by an amendment. An amendment of a switch order confirmation is carried out by sending a SwitchOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The SwitchOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

H. CopyDetails

Information provided when the message is a copy of a previous message.

## 63.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <SwchOrdRConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1265
	<b>PoolReference</b> <PoolRef>	[0..1]	±		1266
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		1266
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1266
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		1267
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1267
	<b>OrderReferences</b> <OrdRRefs>	[1..*]			1267
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		1267
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1268
	<b>DealReference</b> <DealRef>	[0..1]	Text		1268
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1268
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		1268
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		1268

## 63.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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).

## 63.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 63.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 63.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1579 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

## 63.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 63.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

## 63.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 63.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2837

## 63.4.7 OrderReferences <OrdrRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1267
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1268
	<b>DealReference</b> <DealRef>	[0..1]	Text		1268
	<b>CancellationReference</b> <CxIRef>	[0..1]	Text		1268
	<b>CancellationReason</b> <CxIRsn>	[0..1]	±		1268

### 63.4.7.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2837

**63.4.7.2 ClientReference <CIntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**63.4.7.3 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**63.4.7.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**63.4.7.5 CancellationReason <CxlRsn>***Presence:* [0..1]*Definition:* Reason for the cancellation of the confirmation.**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2528 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**63.4.8 CopyDetails <CpyDtls>***Presence:* [0..1]*Definition:* Information provided when the message is a copy of a previous message.**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898



# 64      **setr.057.001.02**

## **OrderConfirmationStatusReportV02**

### **64.1    MessageDefinition Functionality**

#### Scope

The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to report the status of an order confirmation or an order confirmation amendment.

#### Usage

The OrderConfirmationStatusReport message is used to report on the status of one or more individual:

- subscription confirmations,
- subscription confirmation amendments,
- redemption confirmations,
- redemption confirmation amendments,
- switch order confirmations,
- switch order confirmation amendments.

One of the following statuses can be reported:

- confirmation rejected, or,
- amendment rejected, or,
- sent to next party, or,
- communication problem with next party, or,
- confirmation accepted, or,
- confirmation received.

It is likely that the OrderConfirmationStatusReport is only sent by the order instructing party to the order executing party to reject an order confirmation or to reject an order confirmation amendment, although if an intermediary party is used, the statuses sent to next party and communication problem with next party are also likely be used. The statuses confirmation accepted and confirmation received would only be used in the event the order executing party sends a RequestForOrderConfirmationStatusReport message and one of the other statuses does not apply.

If the status being reported is either confirmation rejected or amendment rejected, then a reason for the rejection must be given.

The individual order confirmation or confirmation amendment for which the status is given is identified with its order reference. The message identification of the message in which the individual order

confirmation or confirmation amendment was conveyed may also be quoted in RelatedReference, but this is not recommended.

#### Outline

The OrderConfirmationStatusReportV02 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. Reference

Reference to the message or communication that was previously received.

C. IndividualOrderConfirmationDetailsReport

Status report details of an individual order confirmation.

D. Extension

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

## 64.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrConfStsRpt>	[1..1]		C5, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1271
	<b>Reference</b> <Ref>	[0..1]	±		1272
	<b>IndividualOrderConfirmationDetailsReport</b> <IndvOrdrConfDtlsRpt>	[1..*]			1272
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1273
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1273
	<b>Confirmation</b> <Conf>	[1..1]			1273
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	1273
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	1273
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		1274
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		1274
	<b>DealReference</b> <DealRef>	[0..1]	Text		1274
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		1275
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C6	1275
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1275
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	1276

## 64.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

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

### C5 MessageNameAndReferenceGuideline

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, setr.055, setr.058 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

### C6 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### C7 OtherReferenceGuideline

OtherReference should be used to reference an order confirmation cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

### C8 ReasonElementRule

Either Reason or AdditionalInformation must be present. Both may be present.

### C9 SeriesElementRule

Either SeriesDate or SeriesName must be present. Both may be present.

## 64.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 64.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 64.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "References61Choice" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1577
Or}	OtherReference <OthrRef>	[1..2]	±		1577

## 64.4.3 IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>

*Presence:* [1..\*]

*Definition:* Status report details of an individual order confirmation.

**IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>** contains the following **IndividualOrderConfirmationStatusAndReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1273
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1273
	<b>Confirmation</b> <Conf>	[1..1]			1273
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	1273
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	1273
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		1274
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1274
	<b>DealReference</b> <DealRef>	[0..1]	Text		1274
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		1275
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C6	1275
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1275

**64.4.3.1 MasterReference <MstrRef>***Presence:* [0..1]*Definition:* Reference assigned to a set of orders or trades in order to link them together.*Datatype:* "Max35Text" on page 2837**64.4.3.2 OrderReference <OrdRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**64.4.3.3 Confirmation <Conf>***Presence:* [1..1]*Definition:* Status of the order confirmation cancellation.**Confirmation <Conf>** contains one of the following **ConfirmationStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	1273
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	1273
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		1274

**64.4.3.3.1 ConfirmationRejected <ConfRjctd>***Presence:* [1..10]*Definition:* Status of the order confirmation is rejected.*Impacted by:* C8 "ReasonElementRule"**ConfirmationRejected <ConfRjctd>** contains the following elements (see "ConfirmationRejectedStatus2" on page 2529 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2530
{Or	Code <Cd>	[1..1]	CodeSet		2530
Or}	Proprietary <Prtry>	[1..1]	±		2532
	AdditionalInformation <AddtlInf>	[0..1]	Text		2533

**Constraints**

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**64.4.3.3.2 AmendmentRejected <AmdmntRjctd>***Presence:* [1..10]

*Definition:* Status of the order confirmation amendment is rejected.

*Impacted by:* C8 "ReasonElementRule"

**AmendmentRejected <AmdmntRjctd>** contains the following elements (see "ConfirmationRejectedStatus2" on page 2529 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2530
{Or	Code <Cd>	[1..1]	CodeSet		2530
Or}	Proprietary <Prtry>	[1..1]	±		2532
	AdditionalInformation <AddtlInf>	[0..1]	Text		2533

#### Constraints

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 64.4.3.3.3 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the order confirmation is accepted or received or sent to next party or there is a communication problem with next party. There is no reason attached.

*Datatype:* "OrderConfirmationStatus1Code" on page 2766

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

#### 64.4.3.4 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 64.4.3.5 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 64.4.3.6 StatusInitiator <StsIntr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order confirmation.

**StatusInitiator <StsIntr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 64.4.3.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order confirmation for which the status is given.

*Impacted by:* [C6 "OrderOriginatorEligibility2Rule"](#)

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "[InvestmentAccount58](#)" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 64.4.3.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order confirmation for which the status is given.

*Impacted by:* [C4 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

## 64.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 65 setr.058.001.02 RequestForOrderConfirmationStatusReportV 02

## 65.1 MessageDefinition Functionality

### Scope

The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.

### Usage

The RequestForOrderConfirmationStatusReport message is used to request the status of either:

- one or several individual order confirmations, or,
- one or several order confirmation messages.

The response to a RequestForOrderConfirmationStatusReport message is the OrderConfirmationStatusReport message.

When the RequestForOrderConfirmationStatusReport message is used to request the status of several individual order confirmations or one or more order confirmation messages, the executing party may receive several OrderConfirmationStatusReport messages from the instructing party.

When the RequestForOrderConfirmationStatusReport is used to request the status of one or more individual order confirmations, each individual order confirmation is identified with its order reference. The message identification of the message in which the individual order confirmation was conveyed may also be quoted in PreviousReference.

When the RequestForOrderConfirmationStatusReport is used to request the status of an order confirmation message, then the message identification of the order confirmation message is identified in PreviousReference.

### Outline

The RequestForOrderConfirmationStatusReportV02 MessageDefinition is composed of 3 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. RequestDetails

Information to identify the order confirmation for which the status is requested.

#### C. Extension

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

## 65.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdRConfStsRpt>	[1..1]		C6, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		1279
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C8	1279
	<b>Reference</b> <Ref>	[0..1]	±		1280
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1280
	<b>OrderReference</b> <OrdRRef>	[0..*]			1281
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1281
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		1281
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1281
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1281
	<b>DealReference</b> <DealRef>	[0..1]	Text		1281
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1282
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1282
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	1283

## 65.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, 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 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

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

### C5 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C6 OtherReferenceGuideline**

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C7 PreviousReferenceGuideline**

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, or setr.055 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C8 ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

# 65.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 65.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see ["MessageIdentification1"](#) on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

## 65.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the order confirmation for which the status is requested.

*Impacted by:* [C8 "ReferenceElementRule"](#)

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]	±		1280
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		1280
	<b>OrderReference</b> <OrdrRef>	[0..*]			1281
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1281
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1281
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		1281
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1281
	<b>DealReference</b> <DealRef>	[0..1]	Text		1281
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1282
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1282

#### Constraints

- **ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

#### 65.4.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**Reference <Ref>** contains one of the following elements (see "[References62Choice](#)" on page 1580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..2]	±		1580
Or}	<b>OtherReference</b> <OthrRef>	[1..2]	±		1580

#### 65.4.2.2 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		1571
	<b>ReferenceIssuer</b> <RefIssr>	[0..1]	±		1571
	<b>MessageName</b> <MsgNm>	[0..1]	Text		1572

**65.4.2.3 OrderReference <OrdrRef>***Presence:* [0..\*]*Definition:* Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.**OrderReference <OrdrRef>** contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		1281
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		1281
	<b>ClientReference</b> <CintRef>	[0..1]	Text		1281
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		1281
	<b>DealReference</b> <DealRef>	[0..1]	Text		1281
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	1282
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	1282

**65.4.2.3.1 MasterReference <MstrRef>***Presence:* [0..1]*Definition:* Reference assigned to a set of orders or trades in order to link them together.*Datatype:* "Max35Text" on page 2837**65.4.2.3.2 OrderReference <OrdrRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**65.4.2.3.3 ClientReference <CintRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**65.4.2.3.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**65.4.2.3.5 DealReference <DealRef>***Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 65.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction or individual order cancellation request for which the status is requested.

*Impacted by:* C5 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 65.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

## 65.4.3 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 66 Message Items Types

### 66.1 MessageComponents

#### 66.1.1 Account

##### 66.1.1.1 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		1284
	Type <Tp>	[0..1]	±		1284
	Name <Nm>	[0..1]	Text		1284

##### 66.1.1.1.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

##### 66.1.1.1.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Specifies the type of securities account.

**Type <Tp>** contains the following elements (see "GenericIdentification30" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

##### 66.1.1.1.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Description of the account.

*Datatype:* "Max70Text" on page 2838

##### 66.1.1.2 ConfirmationType1Choice

*Definition:* Choice of formats for a confirmation type.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1285
Or}	Proprietary <Prtry>	[1..1]	±		1285

#### 66.1.1.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Confirmation type expressed as a code.

*Datatype:* "AccountManagementType2Code" on page 2707

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

#### 66.1.1.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Confirmation type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.1.3 AccountOpeningType1Choice

*Definition:* Choice of formats for the account opening type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1285
Or}	Proprietary <Prtry>	[1..1]	±		1286

#### 66.1.1.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of account opening instruction expressed as a code.

*Datatype:* "AccountOpeningType1Code" on page 2708

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

#### 66.1.1.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of account opening instruction expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.1.4 Account23

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1286
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		1286

##### 66.1.1.4.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Identification of the account.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.1.4.2 RelatedAccountDetails <RltdAcctDtls>

*Presence:* [0..1]

*Definition:* Information about the account to which the existing account is to be linked.

**RelatedAccountDetails <RltdAcctDtls>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

### 66.1.1.5 GenericAccountIdentification1

*Definition:* Information related to a generic account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.1.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max34Text" on page 2837

#### 66.1.1.5.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **AccountSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287

##### 66.1.1.5.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ExternalAccountIdentification1Code" on page 2736

##### 66.1.1.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.1.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 2837

### 66.1.1.6 AccountType2Choice

*Definition:* Choice of formats for the specification of the type of account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.1.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of account expressed as a code.

*Datatype:* "FundCashAccount4Code" on page 2739

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

#### 66.1.1.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

## 66.1.2 Account Identification

### 66.1.2.1 AccountIdentification3

*Definition:* Identification of the account expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1289
	Issuer <Issr>	[1..1]	Text		1289
	Information <Inf>	[1..1]	Text		1289

#### 66.1.2.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 66.1.2.1.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the information.

*Datatype:* "[Max8Text](#)" on page 2838

#### 66.1.2.1.3 Information <Inf>

*Presence:* [1..1]

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

*Datatype:* "[Exact4AlphaNumericText](#)" on page 2835

### 66.1.2.2 AccountIdentification1

*Definition:* Unique identifier of an account, as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 66.1.2.2.1 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Unique identifier for an account. It is assigned by the account servicer using a proprietary identification scheme.

**Proprietary <Prtry>** contains the following elements (see "[SimpleIdentificationInformation](#)" on page 1580 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1581

#### 66.1.2.3 SubAccount5

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

##### 66.1.2.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.2.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.2.3.3 Characteristic <Chrtc>

*Presence:* [0..1]

*Definition:* Specifies additional properties of the account.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.2.4 AccountIdentificationAndName5

*Definition:* Identification of the account expressed with a name and an account number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.2.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentification4Choice](#)" on page 1291 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C19	1291
Or}	Other <Othr>	[1..1]	±		1292

#### 66.1.2.4.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.2.5 AccountIdentification4Choice

*Definition:* Specifies the unique identification of an account as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C19	1291
Or}	Other <Othr>	[1..1]	±		1292

#### 66.1.2.5.1 IBAN <IBAN>

*Presence:* [1..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of a customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* [C19 "IBAN"](#)

*Datatype:* "[IBAN2007Identifier](#)" on page 2828

**Constraints**

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**66.1.2.5.2 Other <Othr>**

*Presence:* [1..1]

*Definition:* Unique identification of an account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.2.6 InvestmentAccount69**

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1292
	Designation <Dsgnt>	[0..1]	Text		1292
	AccountName <AcctNm>	[0..1]	Text		1293
	Servicer <Svcr>	[0..1]	±		1293

**66.1.2.6.1 Identification <Id>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.2.6.2 Designation <Dsgnt>**

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are



registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 66.1.2.6.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.2.6.4 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**Servicer <Svcr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.2.7 SubAccountIdentification5

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1293
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1294
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1294
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1294

##### 66.1.2.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1296 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

#### 66.1.2.7.2 FungibleIndicator <Fngblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.2.7.3 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.2.7.4 BalanceForSubAccount <BalForSubAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* [C1 "AccruedInterestAmountSignRule"](#), [C8 "BalanceAtSafekeepingPlaceRule"](#), [C5 "AggregateQuantityGuideline"](#)

**BalanceForSubAccount <BalForSubAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1317 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1319
	AvailableQuantity <AvlblQty>	[0..1]	±		1319
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1319
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1320
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1320
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1321
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1321
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1321
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1322
	PriceDetails <PricDtls>	[0..*]	±	C15	1322
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1323
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1323
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1324
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1324
	AggregateQuantity <AggtQty>	[1..1]	±		1325
	AvailableQuantity <AvlblQty>	[0..1]	±		1326
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1326
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1326
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1326
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1327
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1328
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1328
	PriceDetails <PricDtls>	[0..*]	±	C15	1328
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1329
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1329

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1330

**Constraints**

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**66.1.2.8 AccountIdentificationFormatChoice**

*Definition:* Choice between formats for account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

**66.1.2.8.1 SimpleIdentification <SmplId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**SimpleIdentification <SmplId>** contains the following elements (see "[AccountIdentification1](#)" on [page 1289](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

**66.1.2.8.2 IdentificationAndPurpose <IdAndPurp>**

*Presence:* [1..1]

*Definition:* Identification of the account expressed with an account number and a code.

**IdentificationAndPurpose <IdAndPurp>** contains the following **AccountIdentificationAndPurpose** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297

#### 66.1.2.8.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 66.1.2.8.2.2 Purpose <Purp>

*Presence:* [1..1]

*Definition:* Specifies the purpose of the account.

*Datatype:* "[SecuritiesAccountPurposeType1Code](#)" on page 2793

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.
PHYS	Physical	Account is used for physical domestic safekeeping.

#### 66.1.2.8.3 IdentificationAsDSS <IdAsDSS>

*Presence:* [1..1]

*Definition:* Identification of the account expressed with a data source scheme, a code used within the data source scheme and the account identification.

**IdentificationAsDSS <IdAsDSS>** contains the following elements (see "[AccountIdentification3](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1289
	Issuer <Issr>	[1..1]	Text		1289
	Information <Inf>	[1..1]	Text		1289

### 66.1.2.9 Account7

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1298
	AccountServicer <AcctSvcr>	[0..1]	±		1298

#### 66.1.2.9.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 66.1.2.9.2 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution servicing an account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

### 66.1.2.10 SubAccountIdentification3

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1299
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1299
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1299
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1299

#### 66.1.2.10.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1296 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

#### 66.1.2.10.2 FungibleIndicator <Fngblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.2.10.3 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.2.10.4 BalanceForSubAccount <BalForSubAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: C1 "AccruedInterestAmountSignRule", C6 "BalanceAtSafekeepingPlaceRule"

**BalanceForSubAccount <BalForSubAcct>** contains the following elements (see "AggregateBalanceInformation3" on page 1339 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1340
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1340
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1341
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1342
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1342
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1342
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1343
	PriceDetails <PricDtls>	[1..*]	±	C15	1343
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1344
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1344
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1345
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1345

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

### 66.1.2.11 CashAccountIdentification8Choice

*Definition:* Specifies the unique identification of an account as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Other <Othr>	[1..1]	±		1300
Or}	IBAN <IBAN>	[1..1]	IdentifierSet	C19	1301

#### 66.1.2.11.1 Other <Othr>

*Presence:* [1..1]



*Definition:* Unique identification of an account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.2.11.2 IBAN <IBAN>

*Presence:* [1..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of a customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* [C19 "IBAN"](#)

*Datatype:* ["IBAN2007Identifier"](#) on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

## 66.1.3 Address

### 66.1.3.1 CommunicationAddress6

*Definition:* Communication device number or electronic address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.3.1.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Type of communication address.

**AddressType <AdrTp>** contains one of the following **AddressType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302

##### 66.1.3.1.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type expressed as a code.

*Datatype:* "AddressType1Code" on page 2712

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

##### 66.1.3.1.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.3.1.2 Email <Email>

*Presence:* [0..1]

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

*Datatype:* "[Max256Text](#)" on page 2837

#### 66.1.3.1.3 Phone <Phne>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* "[PhoneNumber](#)" on page 2838

#### 66.1.3.1.4 Mobile <Mob>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* "[PhoneNumber](#)" on page 2838

#### 66.1.3.1.5 FaxNumber <FaxNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* "[PhoneNumber](#)" on page 2838

#### 66.1.3.1.6 TelexAddress <TlxAdr>

*Presence:* [0..1]

*Definition:* Address for a telex machine.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.3.1.7 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

*Datatype:* "[Max256Text](#)" on page 2837

## 66.1.4 Amount

### 66.1.4.1 DateAndAmount2

*Definition:* Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 66.1.4.1.1 Date <Dt>

*Presence:* [0..1]

*Definition:* Date on which the amount is declared or registered.

*Datatype:* "ISODate" on page 2822

#### 66.1.4.1.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.4.2 DateAndAmount1

*Definition:* Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.4.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date on which the amount is declared or registered.

*Datatype:* "ISODate" on page 2822

#### 66.1.4.2.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.4.3 InitialAmount1Choice

*Definition:* Choice of an initial amount or number of pre-paid instalments.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitlNbOfInstlmts>	[1..1]	Quantity		1305
Or}	Amount <Amt>	[1..1]	Amount	C1, C13	1305

##### 66.1.4.3.1 InitialNumberOfInstalments <InitlNbOfInstlmts>

*Presence:* [1..1]

*Definition:* Number of pre-paid instalment periods at the time the investment plan is created.

*Datatype:* "Number" on page 2834

##### 66.1.4.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount to be paid or redeemed at the time the investment plan is created.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.4.4 RoundingParameters1

*Definition:* Parameters applied to a fractional number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1306
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1306

##### 66.1.4.4.1 RoundingModulus <RndgMdlus>

*Presence:* [0..1]

*Definition:* Float value specifying the value to which rounding is required, eg, 10 means round to a multiple of 10 units/shares, 0.5 means round to a multiple of 0.5 units/shares.

*Datatype:* "DecimalNumber" on page 2834

##### 66.1.4.4.2 RoundingDirection <RndgDrctn>

*Presence:* [1..1]

*Definition:* Rounding direction applied to fractional numbers, eg, round up.

*Datatype:* "RoundingDirection1Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

## 66.1.5 Balance

### 66.1.5.1 BalanceQuantity1Choice

*Definition:* Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.1.1 Quantity <Qty>***Presence:* [1..1]*Definition:* Total quantity of financial instruments of the balance.**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantityChoice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2400
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2401
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2401

**66.1.5.1.2 QuantityAsDSS <QtyAsDSS>***Presence:* [1..1]*Definition:* Total quantity of financial instruments of the balance.**QuantityAsDSS <QtyAsDSS>** contains the following elements (see "[GenericIdentification6](#)" on page 1576 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1576
	Information <Inf>	[1..1]	Text		1576
	Balance <Bal>	[1..1]	Quantity		1577

**66.1.5.2 SubBalanceInformation2***Definition:* Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1307
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1308
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1309
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1310

**66.1.5.2.1 Quantity <Qty>***Presence:* [1..1]*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[SubBalanceQuantity1Choice](#)" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1346
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1347
Or}	QuantityAndAvailability <QtyAndAvlbt>	[1..1]			1347
	Quantity <Qty>	[1..1]	±		1347
	AvailabilityIndicator <AvlbtInd>	[1..1]	Indicator		1348

#### 66.1.5.2.2 SubBalanceType <SubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason for the sub-balance.

*Datatype:* "[SecuritiesBalanceType1Code](#)" on page 2793

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only



CodeName	Name	Definition
		applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxi, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

#### 66.1.5.2.3 ExtendedSubBalanceType <XtndedSubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.5.2.4 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

#### 66.1.5.3 AggregateBalancePerSafekeepingPlace4

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1311
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1311
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1311
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1311
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1312
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1312
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1312
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1313
	PriceDetails <PricDtls>	[1..*]	±	C15	1313
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1314
	BalanceBreakdownDetails <BalBrkdwDtls>	[0..*]	±		1314
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1315

**Constraints**

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

**66.1.5.3.1 AggregateBalance <AggtBal>**

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateBalance <AggtBal>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.3.2 DaysAccrued <DaysAcrd>**

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* "[Number](#)" on page 2834

**66.1.5.3.3 HoldingValue <HldgVal>**

*Presence:* [1..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "[ActiveOrHistoricCurrency](#)", C10 "[CurrencyAmount](#)"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.3.4 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### **66.1.5.3.5 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### **66.1.5.3.6 AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

#### **66.1.5.3.7 BookValue <BookVal>**

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.5.3.8 SafekeepingPlace <SfkpgPlc>

*Presence:* [1..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2389
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrrtv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2390
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C12	2390

#### 66.1.5.3.9 PriceDetails <PricDtls>

*Presence:* [1..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "[PriceInformation2](#)" on page 2360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2361
	ValueType <ValTp>	[0..1]	CodeSet		2361
{Or	Type <Tp>	[1..1]	CodeSet		2362
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2363
	SourceOfPrice <SrcOfPric>	[0..1]			2363
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364
	QuotationDate <QtnDt>	[0..1]	±		2364
	Yielded <Yldd>	[0..1]	Indicator		2364

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 66.1.5.3.10 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms6](#)" on page 1551 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1551
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1552
	ExchangeRate <XchgRate>	[1..1]	Rate		1552
	QuotationDate <QtnDt>	[0..1]	DateTime		1552
	QuotingInstitution <QtgInstn>	[0..1]	±		1552

#### 66.1.5.3.11 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdownDtls>** contains the following elements (see "SubBalanceInformation2" on page 1307 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1307
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1308
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1309
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1310

#### 66.1.5.3.12 AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

#### 66.1.5.4 AdditionalBalanceInformation2

*Definition:* Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

##### 66.1.5.4.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[SubBalanceQuantity1Choice](#)" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1346
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1347
Or}	QuantityAndAvailability <QtyAndAvlbt>	[1..1]			1347
	Quantity <Qty>	[1..1]	±		1347
	AvailabilityIndicator <AvlbtInd>	[1..1]	Indicator		1348

#### 66.1.5.4.2 SubBalanceType <SubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesBalanceType2Code](#)" on page 2795

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

#### 66.1.5.4.3 ExtendedSubBalanceType <XtndedSubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[Extended350Code](#)" on page 2836



#### 66.1.5.5 AggregateBalanceInformation4

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1319
	AvailableQuantity <AvlblQty>	[0..1]	±		1319
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1319
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1320
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1320
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1321
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1321
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1321
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1322
	PriceDetails <PricDtls>	[0..*]	±	C15	1322
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1323
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1323
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1324
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1324
	AggregateQuantity <AggtQty>	[1..1]	±		1325
	AvailableQuantity <AvlblQty>	[0..1]	±		1326
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1326
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1326
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1326
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1327
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1328
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1328
	PriceDetails <PricDtls>	[0..*]	±	C15	1328
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1329
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1329
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1330

**Constraints**

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**66.1.5.5.1 AggregateQuantity <AggtQty>**

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.2 AvailableQuantity <AvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is available.

**AvailableQuantity <AvlblQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.3 NotAvailableQuantity <NotAvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is not available.

**NotAvailableQuantity <NotAvlblQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.4 DaysAccrued <DaysAcrd>**

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* "Number" on page 2834

**66.1.5.5.5 HoldingValue <HldgVal>**

*Presence:* [0..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.6 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.7 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.5.5.8 AccruedInterestAmountSign <AcrdIntrstAmtSgn>

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

#### 66.1.5.5.9 BookValue <BookVal>

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.5.5.10 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2389
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrrtv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2390
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C12	2390

#### 66.1.5.5.11 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Security held on the account for which the balance is calculated.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument13" on page 1511 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1511
	Name <Nm>	[0..1]	Text		1512
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1512
	ClassType <ClsTp>	[0..1]	Text		1512
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1513
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1513

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.5.5.12 PriceDetails <PricDtls>

*Presence:* [0..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "[PriceInformation2](#)" on page 2360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2361
	ValueType <ValTp>	[0..1]	CodeSet		2361
{Or	Type <Tp>	[1..1]	CodeSet		2362
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2363
	SourceOfPrice <SrcOfPric>	[0..1]			2363
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364
	QuotationDate <QtnDt>	[0..1]	±		2364
	Yielded <Yldd>	[0..1]	Indicator		2364

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 66.1.5.5.13 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms6](#)" on page 1551 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1551
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1552
	ExchangeRate <XchgRate>	[1..1]	Rate		1552
	QuotationDate <QtnDt>	[0..1]	DateTime		1552
	QuotingInstitution <QtgInstn>	[0..1]	±		1552

#### 66.1.5.5.14 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1307 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1307
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1308
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1309
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1310

#### 66.1.5.5.15 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

#### 66.1.5.5.16 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

*Impacted by:* C2 "AccruedInterestAmountSignRule", C6 "AggregateQuantityGuideline"



**BalanceAtSafekeepingPlace <BalAtSfkpgPlc>** contains the following **AggregateBalancePerSafekeepingPlace3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1325
	AvailableQuantity <AvlblQty>	[0..1]	±		1326
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1326
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1326
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1326
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1327
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1328
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1328
	PriceDetails <PricDtls>	[0..*]	±	C15	1328
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1329
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1329
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1330

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

#### 66.1.5.5.16.1 AggregateQuantity <AggtQty>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.16.2 AvailableQuantity <AvlblQty>***Presence:* [0..1]*Definition:* Total quantity of financial instrument for the referenced holding that is available.**AvailableQuantity <AvlblQty>** contains one of the following elements (see ["BalanceQuantity1Choice"](#) on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.16.3 NotAvailableQuantity <NotAvlblQty>***Presence:* [0..1]*Definition:* Total quantity of financial instrument for the referenced holding that is not available.**NotAvailableQuantity <NotAvlblQty>** contains one of the following elements (see ["BalanceQuantity1Choice"](#) on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

**66.1.5.5.16.4 DaysAccrued <DaysAcrd>***Presence:* [0..1]*Definition:* Specifies the number of days used for calculating the accrued interest amount.*Datatype:* ["Number"](#) on page 2834**66.1.5.5.16.5 HoldingValue <HldgVal>***Presence:* [0..\*]*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705**Constraints**

- ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.16.6 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.16.7 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.16.8 AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

**66.1.5.5.16.9 BookValue <BookVal>***Presence:* [0..1]*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.5.16.10 SafekeepingPlace <SfkpgPlc>***Presence:* [1..1]*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2389
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrrtv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2390
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C12	2390

**66.1.5.5.16.11 PriceDetails <PricDtls>***Presence:* [0..\*]*Definition:* Price of the financial instrument in one or more currencies.*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2361
	ValueType <ValTp>	[0..1]	CodeSet		2361
{Or	Type <Tp>	[1..1]	CodeSet		2362
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2363
	SourceOfPrice <SrcOfPric>	[0..1]			2363
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364
	QuotationDate <QtnDt>	[0..1]	±		2364
	Yielded <Yldd>	[0..1]	Indicator		2364

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 66.1.5.5.16.12 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "ForeignExchangeTerms6" on page 1551 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1551
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1552
	ExchangeRate <XchgRate>	[1..1]	Rate		1552
	QuotationDate <QtnDt>	[0..1]	DateTime		1552
	QuotingInstitution <QtgInstn>	[0..1]	±		1552

#### 66.1.5.5.16.13 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1307 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1307
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1308
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1309
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1310

#### 66.1.5.5.16.14 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

#### 66.1.5.6 CustodyStatementOfHoldings2

*Definition:* Information about a custody statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1331
	Reference <Ref>	[1..1]	Text		1332
	StatementDateTime <StmntDtTm>	[1..1]	±		1332
	CreationDateTime <CreDtTm>	[0..1]	±		1332
	Frequency <Frqcy>	[1..1]	±		1332
	UpdateType <UpdTp>	[1..1]	±		1333
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1333
	StatementBasis <StmntBsis>	[1..1]	±		1333
	ReportNumber <RptNb>	[0..1]	Text		1333
	AccountDetails <AcctDtls>	[0..1]	±		1334
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1334
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1336
	TotalValues <TtlVals>	[0..1]	±		1336
	Extension <Xtnsn>	[0..*]	±	C16	1336

#### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

#### 66.1.5.6.1 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [0..1]

*Definition:* General information related to the custody statement of holdings that is being cancelled.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1332
	StatementDateTime <StmntDtTm>	[1..1]	±		1332
	CreationDateTime <CreDtTm>	[0..1]	±		1332
	Frequency <Frqcy>	[1..1]	±		1332
	UpdateType <UpdTp>	[1..1]	±		1333
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1333
	StatementBasis <StmntBsis>	[1..1]	±		1333
	ReportNumber <RptNb>	[0..1]	Text		1333

#### 66.1.5.6.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2837

#### 66.1.5.6.1.2 StatementDateTime <StmntDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmntDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.5.6.1.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.5.6.1.4 Frequency <Frqcy>

*Presence:* [1..1]



*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "[FrequencyCodeAndDSSCode1Choice](#)" on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2384
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2385

#### 66.1.5.6.1.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "[StatementUpdateTypeCodeAndDSSCodeChoice](#)" on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2471
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2472

#### 66.1.5.6.1.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.5.6.1.7 StatementBasis <StmntBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmntBsis>** contains one of the following elements (see "[StatementBasisCodeAndDSSCodeChoice](#)" on page 2470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2471
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2471

#### 66.1.5.6.1.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "[Max5NumericText](#)" on page 2838

**66.1.5.6.2 AccountDetails <AcctDtls>***Presence:* [0..1]*Definition:* Safekeeping or investment account of the statement that is being cancelled.**AccountDetails <AcctDtls>** contains the following elements (see "[SafekeepingAccount2](#)" on [page 1681](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1681
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1682
	Name <Nm>	[0..1]	Text		1682
	Designation <Dsgnt>	[0..1]	Text		1682
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1682
	AccountOwner <AcctOwnr>	[0..1]	±		1683
	AccountServicer <AcctSvcr>	[0..1]	±		1683

**66.1.5.6.3 BalanceForAccount <BalForAcct>***Presence:* [0..\*]*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.*Impacted by:* [C1 "AccruedInterestAmountSignRule"](#), [C8 "BalanceAtSafekeepingPlaceRule"](#), [C5 "AggregateQuantityGuideline"](#)

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1317 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1319
	AvailableQuantity <AvlblQty>	[0..1]	±		1319
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1319
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1320
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1320
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1320
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1321
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1321
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1321
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1322
	PriceDetails <PricDtls>	[0..*]	±	C15	1322
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1323
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1323
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1324
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1324
	AggregateQuantity <AggtQty>	[1..1]	±		1325
	AvailableQuantity <AvlblQty>	[0..1]	±		1326
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1326
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1326
	HoldingValue <HldgVal>	[0..*]	Amount	C2, C10	1326
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1327
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1327
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1328
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1328
	PriceDetails <PricDtls>	[0..*]	±	C15	1328
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1329
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1329

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1330

**Constraints**

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**66.1.5.6.4 SubAccountDetails <SubAcctDtls>**

*Presence:* [0..\*]

*Definition:* Sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification5](#)" on page 1293 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1293
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1294
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1294
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1294

**66.1.5.6.5 TotalValues <TtlVals>**

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C1, C13	1339
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C1, C13	1339

**66.1.5.6.6 Extension <Xtnsn>**

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### 66.1.5.7 FundBalance1

*Definition:* Balances of units and cash derived from investment fund orders.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.5.7.1 TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>

*Presence:* [0..1]

*Definition:* Total number of units from orders placed in units.

**TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.5.7.2 TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>

*Presence:* [0..1]

*Definition:* Number of units derived from orders placed in cash.

**TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.5.7.3 TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>***Presence:* [0..1]*Definition:* Total amount of cash derived from orders placed as units.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.7.4 TotalCashFromCashOrders <TtlCshFrCshOrdrs>***Presence:* [0..1]*Definition:* Total amount of cash from orders placed in cash.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.8 TotalValueInPageAndStatement***Definition:* Value of total holdings reported.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C1, C13	1339
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>	[1..1]	Amount	C1, C13	1339

**66.1.5.8.1 TotalHoldingsValueOfPage <TtlHldgsValOfPg>**

*Presence:* [0..1]

*Definition:* Total value of positions reported in this message.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.5.8.2 TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>**

*Presence:* [1..1]

*Definition:* Total value of positions reported in this statement (a statement may comprise one or more messages).

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.5.9 AggregateBalanceInformation3**

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1340
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1340
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1341
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1342
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1342
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1342
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1343
	PriceDetails <PricDtls>	[1..*]	±	C15	1343
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1344
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1344
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1345
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1345

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

#### 66.1.5.9.1 AggregateQuantity <AggtQty>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1307
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1307

#### 66.1.5.9.2 DaysAccrued <DaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.



*Datatype:* "Number" on page 2834

#### 66.1.5.9.3 HoldingValue <HldgVal>

*Presence:* [1..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.5.9.4 PreviousHoldingValue <PrvsHldgVal>

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.5.9.5 AccruedInterestAmount <AcrdIntrstAmt>

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.9.6 AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see ["PlusOrMinusIndicator" on page 2834](#)):

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

**66.1.5.9.7 BookValue <BookVal>**

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount" on page 2705](#)

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.5.9.8 SafekeepingPlace <SfkpgPlc>**

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2388 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2389
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrrtv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2390
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C12	2390

#### 66.1.5.9.9 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Security held on the account for which the balance is calculated.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument13" on page 1511 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1511
	Name <Nm>	[0..1]	Text		1512
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1512
	ClassType <ClssTp>	[0..1]	Text		1512
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1513
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1513

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.5.9.10 PriceDetails <PricDtls>

*Presence:* [1..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2361
	ValueType <ValTp>	[0..1]	CodeSet		2361
{Or	Type <Tp>	[1..1]	CodeSet		2362
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2363
	SourceOfPrice <SrcOfPric>	[0..1]			2363
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364
	QuotationDate <QtnDt>	[0..1]	±		2364
	Yielded <Yldd>	[0..1]	Indicator		2364

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 66.1.5.9.11 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "ForeignExchangeTerms6" on page 1551 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1551
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1552
	ExchangeRate <XchgRate>	[1..1]	Rate		1552
	QuotationDate <QtnDt>	[0..1]	DateTime		1552
	QuotingInstitution <QtgInstn>	[0..1]	±		1552

#### 66.1.5.9.12 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1307 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1307
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1308
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1309
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1310

#### 66.1.5.9.13 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1315
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1316
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1316

#### 66.1.5.9.14 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

*Impacted by:* C2 "AccruedInterestAmountSignRule"

**BalanceAtSafekeepingPlace <BalAtSfkpgPlc>** contains the following elements (see "AggregateBalancePerSafekeepingPlace4" on page 1310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1311
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1311
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1311
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1311
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1312
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1312
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1312
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1313
	PriceDetails <PricDtls>	[1..*]	±	C15	1313
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1314
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1314
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1315

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### 66.1.5.10 SubBalanceQuantity1Choice

*Definition:* Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1346
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1347
Or}	QuantityAndAvailability <QtyAndAvlby>	[1..1]			1347
	Quantity <Qty>	[1..1]	±		1347
	AvailabilityIndicator <AvlbyInd>	[1..1]	Indicator		1348

#### 66.1.5.10.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantityChoice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2400
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2401
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2401

#### 66.1.5.10.2 QuantityAsDSS <QtyAsDSS>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**QuantityAsDSS <QtyAsDSS>** contains the following elements (see "[GenericIdentification6](#)" on page 1576 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1576
	Information <Inf>	[1..1]	Text		1576
	Balance <Bal>	[1..1]	Quantity		1577

#### 66.1.5.10.3 QuantityAndAvailability <QtyAndAvlbt>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance and whether the balance is available.

**QuantityAndAvailability <QtyAndAvlbt>** contains the following **QuantityAndAvailability** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1347
	AvailabilityIndicator <AvlbtInd>	[1..1]	Indicator		1348

##### 66.1.5.10.3.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantityChoice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2400
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2401
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2401

**66.1.5.10.3.2 AvailabilityIndicator <AvlbtlyInd>***Presence:* [1..1]*Definition:* Indicates whether the quantity of securities on the sub-balance is available.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.5.11 AccountingStatementOfHoldings2***Definition:* Information about an accounting statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1348
	Reference <Ref>	[1..1]	Text		1349
	StatementDateTime <StmntDtTm>	[1..1]	±		1349
	CreationDateTime <CreDtTm>	[0..1]	±		1349
	Frequency <Frqcy>	[1..1]	±		1350
	UpdateType <UpdTp>	[1..1]	±		1350
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1350
	StatementBasis <StmntBsis>	[1..1]	±		1350
	ReportNumber <RptNb>	[0..1]	Text		1350
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1351
	AccountDetails <AcctDtls>	[0..1]	±		1351
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1351
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1352
	TotalValues <TtlVals>	[0..1]	±		1353
	Extension <Xtnsn>	[0..*]	±	C16	1353

**Constraints**

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**66.1.5.11.1 StatementGeneralDetails <StmntGnlDtls>***Presence:* [0..1]*Definition:* General information related to the custody statement of holdings that is being cancelled.



**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	StatementDateTime <StmntDtTm>	[1..1]	±		1349
	CreationDateTime <CreDtTm>	[0..1]	±		1349
	Frequency <Frqcy>	[1..1]	±		1350
	UpdateType <UpdTp>	[1..1]	±		1350
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1350
	StatementBasis <StmntBsis>	[1..1]	±		1350
	ReportNumber <RptNb>	[0..1]	Text		1350
	AuditedIndicator <AudtdlInd>	[1..1]	Indicator		1351

#### 66.1.5.11.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2837

#### 66.1.5.11.1.2 StatementDateTime <StmntDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmntDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.5.11.1.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.5.11.1.4 Frequency <Frqcy>***Presence:* [1..1]*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "[FrequencyCodeAndDSSCode1Choice](#)" on page 2384 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2384
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2385

**66.1.5.11.1.5 UpdateType <UpdTp>***Presence:* [1..1]*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "[StatementUpdateTypeCodeAndDSSCodeChoice](#)" on page 2471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2471
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2472

**66.1.5.11.1.6 ActivityIndicator <ActvtyInd>***Presence:* [1..1]*Definition:* Indicates whether there is activity or information update reported in the statement.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.5.11.1.7 StatementBasis <StmntBsis>***Presence:* [1..1]*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmntBsis>** contains one of the following elements (see "[StatementBasisCodeAndDSSCodeChoice](#)" on page 2470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2471
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2471

**66.1.5.11.1.8 ReportNumber <RptNb>***Presence:* [0..1]*Definition:* Sequential number of the statement.

*Datatype:* "Max5NumericText" on page 2838

#### 66.1.5.11.1.9 AuditedIndicator <AudtdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the statement is audited.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.5.11.2 AccountDetails <AcctDtls>

*Presence:* [0..1]

*Definition:* The safekeeping or investment account of the statement that is being cancelled.

**AccountDetails <AcctDtls>** contains the following elements (see "SafekeepingAccount2" on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1681
	FungibleIndicator <FngblInd>	[1..1]	Indicator		1682
	Name <Nm>	[0..1]	Text		1682
	Designation <Dsgnt>	[0..1]	Text		1682
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1682
	AccountOwner <AcctOwnr>	[0..1]	±		1683
	AccountServicer <AcctSvcr>	[0..1]	±		1683

#### 66.1.5.11.3 BalanceForAccount <BalForAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C6 "BalanceAtSafekeepingPlaceRule"

**BalanceForAccount <BalForAcct>** contains the following elements (see ["AggregateBalanceInformation3"](#) on page 1339 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1340
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1340
	HoldingValue <HldgVal>	[1..*]	Amount	C2, C10	1341
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C2, C10	1341
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1342
	BookValue <BookVal>	[0..1]	Amount	C2, C10	1342
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1342
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1343
	PriceDetails <PricDtls>	[1..*]	±	C15	1343
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1344
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1344
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1345
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1345

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

#### 66.1.5.11.4 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see ["SubAccountIdentification3"](#) on page 1298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1299
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1299
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1299
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	1299

**66.1.5.11.5 TotalValues <TtlVals>***Presence:* [0..1]*Definition:* Value of total holdings reported.**TotalValues <TtlVals>** contains the following elements (see ["TotalValueInPageAndStatement"](#) on page 1338 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C1, C13	1339
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C1, C13	1339

**66.1.5.11.6 Extension <Xtnsn>***Presence:* [0..\*]*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.*Impacted by:* [C16 "ExtensionRule"](#)**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**66.1.6 Cancellation Right****66.1.6.1 DateFormat1Choice***Definition:* Choice between the formats to express a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1353
Or	Code <Cd>	[1..1]	CodeSet		1354
Or}	DateTime <DtTm>	[1..1]	DateTime		1354

**66.1.6.1.1 Date <Dt>***Presence:* [1..1]*Definition:* Date expressed as a calendar date.*Datatype:* ["ISODate"](#) on page 2822

**66.1.6.1.2 Code <Cd>***Presence:* [1..1]*Definition:* Date expressed as a code.*Datatype:* "SettlementDate1Code" on page 2796

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

**66.1.6.1.3 DateTime <DtTm>***Presence:* [1..1]*Definition:* Date expressed as a calendar date and time.*Datatype:* "ISODateTime" on page 2822**66.1.7 Cash****66.1.7.1 CashOutForecast6***Definition:* Cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1355
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1355
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1355
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1355
	AdditionalBalance <AddtlBal>	[0..1]	±		1356

**Constraints**

- AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.7.1.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.7.1.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.7.1.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.7.1.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.7.1.5 AdditionalBalance <AddtlBal>***Presence:* [0..1]*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

**66.1.7.2 CashInForecast6**

*Definition:* Cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1356
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1357
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1357
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1357
	AdditionalBalance <AddtlBal>	[0..1]	±		1357

**Constraints**

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

**66.1.7.2.1 CashSettlementDate <CshSttlmDt>***Presence:* [1..1]*Definition:* Date on which cash is available.



*Datatype:* "ISODate" on page 2822

#### 66.1.7.2.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.7.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.7.2.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.7.2.5 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtIBal>** contains the following elements (see ["FundBalance1"](#) on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

### 66.1.7.3 NetCashForecast3

*Definition:* Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

#### 66.1.7.3.1 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.7.3.2 NetUnitsNumber <NetUnitsNb>

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.7.3.3 FlowDirection <FlowDrctn>

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "[FlowDirectionType1Code](#)" on page 2738

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

#### 66.1.7.4 NetCashForecast4

*Definition:* Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.7.4.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "[ISODate](#)" on page 2822

**66.1.7.4.2 NetAmount <NetAmt>***Presence:* [0..1]*Definition:* Net amount of the cash flow, expressed as an amount of money.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.7.4.3 NetUnitsNumber <NetUnitsNb>***Presence:* [0..1]*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.7.4.4 FlowDirection <FlowDrctn>***Presence:* [1..1]*Definition:* Specifies the direction of the cash flow from the perspective of the fund.*Datatype:* "FlowDirectionType1Code" on page 2738

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

**66.1.7.4.5 AdditionalBalance <AddtlBal>***Presence:* [0..1]*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

### 66.1.7.5 FundDetailedConfirmedCashForecastReport3

*Definition:* Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1362
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1363
	Identification <Id>	[1..1]	Text		1365
	TradeDateTime <TradDtTm>	[1..1]	±		1365
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1365
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1365
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1366
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1366
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1367
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1367
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1367
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1367
	CurrencyStatus <CcySts>	[0..1]	±		1368
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1368
	Price <Pric>	[0..1]	±		1368
	ForeignExchangeRate <FXRate>	[0..1]	±		1368
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1369
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1369
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1370
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1371
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1372
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1373
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1374
	Extension <Xtnsn>	[0..*]	±	C16	1374

#### 66.1.7.5.1 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* C14 "FundIdentification1Rule", C15 "FundIdentification2Rule", C16 "FundIdentification3Rule"

**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund4" on page 1745 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1746
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1746
	Identification <Id>	[0..1]			1746
	Identification <Id>	[1..1]	Text		1746
	Type <Tp>	[1..1]	±		1746
	Currency <Ccy>	[0..1]	CodeSet	C2	1747
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1747
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1747
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1748
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1748
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1748

#### Constraints

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
  Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
  Or    /Name Must be present
```

#### 66.1.7.5.2 FundCashForecastDetails <FndCshFcstDtls>

Presence: [1..\*]

**Definition:** Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

**Impacted by:** C11 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following **FundCashForecast6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	TradeDateTime <TradDtTm>	[1..1]	±		1365
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1365
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1365
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1366
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1366
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1367
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1367
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1367
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1367
	CurrencyStatus <CcySts>	[0..1]	±		1368
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1368
	Price <Pric>	[0..1]	±		1368
	ForeignExchangeRate <FXRate>	[0..1]	±		1368
	PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlNAV>	[0..1]	Rate		1369
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1369
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1370
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1371
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1372
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1373

### Constraints

- ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or



BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### 66.1.7.5.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

#### 66.1.7.5.2.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price has been applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.7.5.2.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.7.5.2.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.7.5.2.5 TotalNAV <TtlnAV>

*Presence:* [0..\*]

*Definition:* Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.7.5.2.6 PreviousTotalNAV <PrvsTtlnAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.7.5.2.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.7.5.2.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of investment fund class units that have been issued.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.7.5.2.9 TotalNAVChangeRate <TtlNAVChngRate>**

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* "[PercentageRate](#)" on page 2835

**66.1.7.5.2.10 InvestmentCurrency <InvstmtCcy>**

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.7.5.2.11 CurrencyStatus <CcySts>**

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "[CurrencyDesignation1](#)" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

**66.1.7.5.2.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.7.5.2.13 Price <Pric>**

*Presence:* [0..1]

*Definition:* Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

**66.1.7.5.2.14 ForeignExchangeRate <FXRate>**

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

#### 66.1.7.5.2.15 PercentageOfShareClassTotalNAV <PctgOfShrClssttlnAV>

*Presence:* [0..1]

*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.7.5.2.16 BreakdownByParty <BrkdwnByPty>

*Presence:* [0..\*]

*Definition:* Cash flow by party.

**BreakdownByParty <BrkdwnByPty>** contains the following elements (see "BreakdownByParty3" on page 1888 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1889
	AccountIdentification <AcctId>	[0..1]	±		1890
	OwnerIdentification <OwnrId>	[0..1]	±		1890
	AccountServicer <AcctSvcr>	[0..1]	±		1890
	AdditionalParameters <AddtlParams>	[0..1]	±		1891
	CashInForecast <CshInFcst>	[0..*]		C5	1891
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1892
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1892
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1892
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1892
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1893
	AdditionalBalance <AddtlBal>	[0..1]	±		1893
	CashOutForecast <CshOutFcst>	[0..*]		C6	1893
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1894
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1894
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1895
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1895
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1895
	AdditionalBalance <AddtlBal>	[0..1]	±		1896
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1896

#### 66.1.7.5.2.17 BreakdownByCountry <BrkdwnByCtry>

*Presence:* [0..\*]

*Definition:* Cash flow by country.

**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1939 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1940
	CashInForecast <CshInFcst>	[0..*]		C5	1940
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1941
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1941
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1942
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1942
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1942
	AdditionalBalance <AddtlBal>	[0..1]	±		1942
	CashOutForecast <CshOutFcst>	[0..*]		C6	1943
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1944
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1944
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1944
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1944
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1944
	AdditionalBalance <AddtlBal>	[0..1]	±		1945
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1945

#### 66.1.7.5.2.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Cash flow by currency.

**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1947 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1947
	CashOutForecast <CshOutFcst>	[0..*]		C6	1948
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1948
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1948
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1949
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1949
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1949
	AdditionalBalance <AddtlBal>	[0..1]	±		1950
	CashInForecast <CshInFcst>	[0..*]		C5	1950
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1951
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1951
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1952
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1952
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1952
	AdditionalBalance <AddtlBal>	[0..1]	±		1952
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1953

#### 66.1.7.5.2.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

*Definition:* Cash flow by a user defined parameter/s.

*Impacted by:* C17 "UserDefinedRule"



**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements (see "BreakdownByUserDefinedParameter3" on page 1907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1908
	AccountIdentification <AcctId>	[0..1]	±		1909
	OwnerIdentification <OwnrId>	[0..1]	±		1909
	AccountServicer <AcctSvcr>	[0..1]	±		1910
	Country <Ctry>	[0..1]	CodeSet	C12	1910
	Currency <Ccy>	[0..1]	CodeSet	C2	1910
	UserDefined <UsrDfnd>	[0..1]	±		1910
	CashInForecast <CshInFcst>	[0..*]		C5	1911
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1911
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1911
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1912
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1912
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1912
	AdditionalBalance <AddtlBal>	[0..1]	±		1913
	CashOutForecast <CshOutFcst>	[0..*]		C6	1913
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1914
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1914
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1915
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1915
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1915
	AdditionalBalance <AddtlBal>	[0..1]	±		1915
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1916

#### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 66.1.7.5.2.20 NetCashForecastDetails <NetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash movements per financial instrument.

*Impacted by:* C5 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.7.5.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

#### 66.1.7.5.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### 66.1.7.6 FundConfirmedCashForecastReport3

*Definition:* Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1376
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1378
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1379
	Extension <Xtnsn>	[0..*]	±	C16	1380

#### Constraints

- **ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /FundCashForecastDetails[\*] Must be present

- **FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

- **PreviousTradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/PreviousTradeDateTime Must be absent

- **TradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be absent

- **TradeDate2Rule**

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

On Condition

/FundCashForecastDetails[\*] is absent

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be present

#### 66.1.7.6.1 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* C13 "FundIdentification1Rule", C14 "FundIdentification2Rule", C15 "FundIdentification3Rule"

**FundOrSubFundDetails** <FndOrSubFndDtls> contains the following elements (see "Fund2" on page 1702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1704
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1704
	Identification <Id>	[0..1]			1704
	Identification <Id>	[1..1]	Text		1704
	Type <Tp>	[1..1]	±		1704
	Currency <Ccy>	[0..1]	CodeSet	C2	1705
	TradeDateTime <TradDtTm>	[0..1]	±		1705
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1705
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1706
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1706
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1706
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1707
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1707
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1707
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1707
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1707
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1708
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1708
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1708
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1708

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
```

Following Must be True  
    /Identification Must be present  
Or     /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
    /LegalEntityIdentifier is absent  
Following Must be True  
    /Identification Must be present  
Or     /Name Must be present

#### **66.1.7.6.2 FundCashForecastDetails <FndCshFcstDtls>**

*Presence:* [0..\*]

*Definition:* Information related to the cash-in and cash-out flows for a specific trade date as a result of investment fund transactions, for example, subscriptions, redemptions or switches to/from a specified investment fund.

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following elements (see "FundCashForecast7" on page 1737 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1738
	TradeDateTime <TradDtTm>	[1..1]	±		1738
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1738
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1738
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1739
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1739
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1740
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1740
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1740
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1740
	CurrencyStatus <CcySts>	[0..1]	±		1741
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1741
	Price <Pric>	[0..1]	±		1741
	ForeignExchangeRate <FXRate>	[0..1]	±		1741
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1742
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1742
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1743
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1743

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

#### 66.1.7.6.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1358 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1358
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1358
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1359

#### 66.1.7.6.4 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 66.1.8 Charge

### 66.1.8.1 Fees2

*Definition:* Amount of money associated with a service.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1381
	IndividualFee <IndvFee>	[0..*]			1381
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 66.1.8.1.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

#### 66.1.8.1.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

**IndividualFee <IndvFee>** contains the following **Fee7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

#### 66.1.8.1.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee.

**Type <Tp>** contains one of the following **ChargeType6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383

#### 66.1.8.1.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of fee expressed as a code.

*Datatype:* "InvestmentFundFee2Code" on page 2746

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.

CodeName	Name	Definition
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

#### 66.1.8.1.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of fee expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchemeNm>	[0..1]	Text		1562

#### 66.1.8.1.2.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee.

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384

#### 66.1.8.1.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "[TaxationBasis5Code](#)" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.

CodeName	Name	Definition
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 66.1.8.1.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.1.2.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Fee amount.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

#### 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.

#### 66.1.8.1.2.4 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee.

*Impacted by:* [C13 "DiscountElementRule"](#)

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 66.1.8.1.2.4.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of discount or waiver.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.8.1.2.4.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate of discount or waiver.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.1.2.4.3 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Form of the discount or rebate.

**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386

#### 66.1.8.1.2.4.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a code.

*Datatype:* "WaivingInstruction1Code" on page 2822

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

#### 66.1.8.1.2.4.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.1.2.5 ChargeBearer <ChrgBr>

*Presence:* [0..1]

*Definition:* Party that bears the fee.

*Datatype:* "ChargeBearer1Code" on page 2718

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

**66.1.8.1.2.6 RecipientIdentification <RcptId>***Presence:* [0..1]*Definition:* Party entitled to the amount of money resulting from the fee.**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.8.2 CostsAndCharges2***Definition:* Costs and charges associated with the distribution or selling of a financial instrument. These may be one-off or recurring charges. These may be intended (ex ante) or actual (ex post).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1388
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C14, C15, C31, C32	1388
	CostType <CostTp>	[1..1]			1389
{Or	Code <Cd>	[1..1]	CodeSet		1389
Or}	Proprietary <Prtry>	[1..1]	±		1394
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1394
	Amount <Amt>	[0..1]	Amount	C1	1395
	Sign <Sgn>	[0..1]	Indicator		1395
	Rate <Rate>	[0..1]	Rate		1395
	ReferencePeriod <RefPrd>	[0..1]			1395
	StartDate <StartDt>	[1..1]	Date		1396
	EndDate <EndDt>	[1..1]	Date		1396
	AdditionalInformation <AddtlInf>	[0..1]	±		1396
	AdditionalInformation <AddtlInf>	[0..1]	±		1396

**Constraints**

- **ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

- **IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

**66.1.8.2.1 ExAnteReferenceDate <ExAnteRefDt>**

*Presence:* [0..1]

*Definition:* Reference date applicable to all ex ante cost and charge disclosures. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07160.

*Datatype:* "ISODate" on page 2822

**66.1.8.2.2 IndividualCostOrCharge <IndvCostOrChrg>**

*Presence:* [1..\*]

*Definition:* Individual cost or charge associated with the distribution of selling of the financial instrument. This may be one-off or recurring. This may be ex ante (intended) or post ante (actual).

*Impacted by:* C14 "ExAnteOrExPost1Guideline", C15 "ExAnteOrExPost2Guideline", C31 "SignAmount1Rule", C32 "SignAmount2Rule"

**IndividualCostOrCharge <IndvCostOrChrg>** contains the following **IndividualCostOrCharge2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CostType <CostTp>	[1..1]			1389
{Or	Code <Cd>	[1..1]	CodeSet		1389
Or}	Proprietary <Prtry>	[1..1]	±		1394
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1394
	Amount <Amt>	[0..1]	Amount	C1	1395
	Sign <Sgn>	[0..1]	Indicator		1395
	Rate <Rate>	[0..1]	Rate		1395
	ReferencePeriod <RefPrd>	[0..1]			1395
	StartDate <StartDt>	[1..1]	Date		1396
	EndDate <EndDt>	[1..1]	Date		1396
	AdditionalInformation <AddtlInf>	[0..1]	±		1396

**Constraints**

- **ExAnteOrExPost1Guideline**

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.



- **ExAnteOrExPost2Guideline**

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

- **SignAmount1Rule**

If Amount is not present, then Sign is not allowed.

On Condition

/Amount is absent

Following Must be True

/Sign Must be absent

- **SignAmount2Rule**

Sign must only be used to express a negative value for Amount.

#### 66.1.8.2.2.1 CostType <CostTp>

*Presence:* [1..1]

*Definition:* Type of cost or charge.

**CostType <CostTp>** contains one of the following **ChargeType8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1389
Or}	Proprietary <Prtry>	[1..1]	±		1394

#### 66.1.8.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cost or charge expressed as a code.

*Datatype:* "InvestmentFundMiFIDFee2Code" on page 2747

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified

CodeName	Name	Definition
		as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the

CodeName	Name	Definition
		reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV. Includes performance fees and other costs.
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025.

CodeName	Name	Definition
		This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is

CodeName	Name	Definition
		specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined by the fund or fund management company. This is indicative and should be adapted by the distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is a flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the one-off maximum exit cost EMT reference 07050.
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	<p>One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the 'normal' fees if the client holds the product until maturity or during the RHP.</p> <p>Example: a product with a 5 year maturity has exit costs of:</p> <ul style="list-style-type: none"> <li>- 4% after 1 and 2 years</li> <li>- 3% after 3 years</li> <li>- 1% after 4 years</li> </ul>

CodeName	Name	Definition
		- 0 at maturity Then maximum exit cost: 4%. Typical cost : 0
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

#### 66.1.8.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cost or charge expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.2.2.2 ExAnteOrExPost <ExAnteOrExPst>

*Presence:* [1..1]

*Definition:* Specifies if the cost or charge is ex ante (intended) or post ante (actual).

*Datatype:* "IntendedOrActual2Code" on page 2745

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

#### 66.1.8.2.2.3 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of the cost or charge.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 66.1.8.2.2.4 Sign <Sgn>

*Presence:* [0..1]

*Definition:* Indicates a negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

#### 66.1.8.2.2.5 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate of the cost or charge.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.2.2.6 ReferencePeriod <RefPrd>

*Presence:* [0..1]

*Definition:* Start date and end date of the reference period for the ex post cost or charge. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08090 and 08100.

**ReferencePeriod <RefPrd>** contains the following **Period15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]	Date		1396
	EndDate <EndDt>	[1..1]	Date		1396

**66.1.8.2.2.6.1 StartDate <StartDt>***Presence:* [1..1]*Definition:* Date on which the range starts.*Datatype:* "ISODate" on page 2822**66.1.8.2.2.6.2 EndDate <EndDt>***Presence:* [1..1]*Definition:* Date on which the range ends.*Datatype:* "ISODate" on page 2822**66.1.8.2.2.7 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the individual cost or charge.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.8.2.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about costs and charges.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.8.3 Fee2***Definition:* Amount of money associated with a service.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1397
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399
	Basis <Bsis>	[0..1]			1399
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1400
	StandardRate <StdRate>	[0..1]	Rate		1400
	DiscountDetails <DscntDtls>	[0..1]		C18	1400
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1403
	AppliedRate <ApldRate>	[0..1]	Rate		1403
	NonStandardSLAResponse <NonStdSLARef>	[0..1]	Text		1403
	RecipientIdentification <RcptId>	[0..1]	±		1403
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1403

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 66.1.8.3.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1398
Or}	Proprietary <Prtry>	[1..1]	±		1399

#### 66.1.8.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2745

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.

CodeName	Name	Definition
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.1.8.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.3.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1399
Or}	Proprietary <Prtry>	[1..1]	±		1400

#### 66.1.8.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "[TaxationBasis5Code](#)" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.

CodeName	Name	Definition
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 66.1.8.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.3.3 StandardAmount <StdAmt>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.8.3.4 StandardRate <StdRate>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.3.5 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C18 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1401
	Rate <Rate>	[0..1]	Rate		1402
	Basis <Bsis>	[0..1]			1402
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 66.1.8.3.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

**66.1.8.3.5.2 Rate <Rate>***Presence:* [0..1]*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* "PercentageRate" on page 2835**66.1.8.3.5.3 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the discount or rebate, for example, cash.**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1402
Or}	Proprietary <Prtry>	[1..1]	±		1402

**66.1.8.3.5.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a code.*Datatype:* "WaivingInstruction1Code" on page 2822

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

**66.1.8.3.5.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.8.3.6 AppliedAmount <ApIdAmt>***Presence:* [0..1]*Definition:* Fee (charge/commission) amount applied to the transaction.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.8.3.7 AppliedRate <ApIdRate>***Presence:* [0..1]*Definition:* Final rate used to calculate the fee (charge/commission) amount.*Datatype:* "PercentageRate" on page 2835**66.1.8.3.8 NonStandardSLAReference <NonStdSLARef>***Presence:* [0..1]*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).*Datatype:* "Max35Text" on page 2837**66.1.8.3.9 RecipientIdentification <RcptId>***Presence:* [0..1]*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.8.3.10 InformativeIndicator <InftvInd>***Presence:* [1..1]

**Definition:** Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.8.4 Fee1

**Definition:** Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1405
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406
	Basis <Bsis>	[0..1]			1406
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1407
	StandardRate <StdRate>	[0..1]	Rate		1407
	DiscountDetails <DscntDtls>	[0..1]		C18	1408
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C1, C13	1410
	RequestedRate <ReqdRate>	[0..1]	Rate		1410
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1410
	RecipientIdentification <RcptId>	[0..1]	±		1410

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.



- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 66.1.8.4.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1405
Or}	Proprietary <Prtry>	[1..1]	±		1406

##### 66.1.8.4.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2745

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.

CodeName	Name	Definition
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.1.8.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.4.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1406
Or}	Proprietary <Prtry>	[1..1]	±		1407

#### 66.1.8.4.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "TaxationBasis5Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 66.1.8.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.4.3 StandardAmount <StdAmt>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.8.4.4 StandardRate <StdRate>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.4.5 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C18 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1408
	Rate <Rate>	[0..1]	Rate		1409
	Basis <Bsis>	[0..1]			1409
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 66.1.8.4.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.8.4.5.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.4.5.3 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Form of the discount or rebate, for example, cash.

**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1409
Or}	Proprietary <Prtry>	[1..1]	±		1409

##### 66.1.8.4.5.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a code.

*Datatype:* "WaivingInstruction1Code" on page 2822

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

##### 66.1.8.4.5.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.4.6 RequestedAmount <ReqdAmt>

*Presence:* [0..1]

*Definition:* Requested fee (charge/commission) amount as agreed for the account.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

##### 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.

#### 66.1.8.4.7 RequestedRate <ReqdRate>

*Presence:* [0..1]

*Definition:* Requested rate used to calculate the amount of the fee (charge/commission), as agreed for the account.

*Datatype:* ["PercentageRate"](#) on page 2835

#### 66.1.8.4.8 NonStandardSLAReference <NonStdSLARef>

*Presence:* [0..1]

*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.8.4.9 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

### 66.1.8.5 Charge26

*Definition:* Choice of formats for the type of charge.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1411
{Or	Code <Cd>	[1..1]	CodeSet		1411
Or}	Proprietary <Prtry>	[1..1]	±		1412
	ChargeApplied <ChrgApld>	[1..1]			1412
{Or	Amount <Amt>	[1..1]	Amount	C1	1412
Or}	Rate <Rate>	[1..1]	Rate		1413

#### 66.1.8.5.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of charge.

**Type <Tp>** contains one of the following **ChargeType4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1411
Or}	Proprietary <Prtry>	[1..1]	±		1412

##### 66.1.8.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of charge expressed as a code.

*Datatype:* "ChargeType12Code" on page 2718

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.

CodeName	Name	Definition
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

#### 66.1.8.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of charge expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.5.2 ChargeApplied <ChrgApId>

*Presence:* [1..1]

*Definition:* Charge amount or charge rate applied.

**ChargeApplied <ChrgApId>** contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1412
Or}	Rate <Rate>	[1..1]	Rate		1413

##### 66.1.8.5.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704



**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.

**66.1.8.5.2.2 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Rate used to calculate the amount.

*Datatype:* "PercentageRate" on page 2835

**66.1.8.6 Fee3**

*Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1414
{Or	Code <Cd>	[1..1]	CodeSet		1414
Or}	Proprietary <Prtry>	[1..1]	±		1415
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C1, C13	1415
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1416
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C1, C13	1416
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1416
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C1, C13	1416
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1417
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1417
	NewCommercialAgreementReferenceIndicator <NewComrcIAgrmtRefInd>	[0..1]	Indicator		1417

**Constraints**

- **CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

- **FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

**66.1.8.6.1 Type <Tp>***Presence:* [0..1]*Definition:* Type of fee (charge/commission).**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1414
Or}	Proprietary <Prtry>	[1..1]	±		1415

**66.1.8.6.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Fee (charge/commission) expressed as a code.*Datatype:* "InvestmentFundFee1Code" on page 2745

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.

CodeName	Name	Definition
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.1.8.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.6.2 RepairedStandardAmount <RprdStdAmt>

*Presence:* [0..1]

*Definition:* Modified value of the standard fee (charge/commission) amount applied on the order (the standard fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* "[ActiveCurrencyAndAmount](#)" on page 2704

#### 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.

#### 66.1.8.6.3 RepairedStandardRate <RprdStdRate>

*Presence:* [0..1]

*Definition:* Modified value of the standard fee (charge/commission) rate applied on the order (the standard fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.6.4 RepairedDiscountAmount <RprdDscntAmt>

*Presence:* [0..1]

*Definition:* Modified value of the discount amount applied on the order (the discount amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.8.6.5 RepairedDiscountRate <RprdDscntRate>

*Presence:* [0..1]

*Definition:* Modified value of the discount rate applied on the order (the discount rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.6.6 RepairedRequestedAmount <RprdReqdAmt>

*Presence:* [0..1]

*Definition:* Modified value of the requested fee (charge/commission) amount applied on the order (the requested fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.8.6.7 RepairedRequestedRate <RprdReqdRate>**

*Presence:* [0..1]

*Definition:* Modified value of the requested fee (charge/commission) rate applied on the order (the requested fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2835

**66.1.8.6.8 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

**66.1.8.6.9 NewCommercialAgreementReferenceIndicator <NewComrcIAgrmtRefInd>**

*Presence:* [0..1]

*Definition:* Indicates if the CommercialAgreementReference is a new reference or not.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.8.7 ChargePaymentMethod1Choice**

*Definition:* Choice of formats for the specification of the charge payment method.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1417
Or}	Proprietary <Prtry>	[1..1]	±		1418

**66.1.8.7.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Charge payment method expressed as a code.

*Datatype:* "ChargePaymentMethod1Code" on page 2718

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

#### 66.1.8.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Charge payment method expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.8 Fee5

*Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1419
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421
	Basis <Bsis>	[0..1]			1421
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1422
	StandardRate <StdRate>	[0..1]	Rate		1422
	DiscountDetails <DscntDtls>	[0..1]		C18	1422
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1425
	AppliedRate <ApldRate>	[0..1]	Rate		1425
	NonStandardSLAResponse <NonStdSLARef>	[0..1]	Text		1425
	RecipientIdentification <RcptId>	[0..1]	±		1425
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1425

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 66.1.8.8.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421

#### 66.1.8.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2745

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.



CodeName	Name	Definition
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.1.8.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.8.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422

#### 66.1.8.8.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "[TaxationBasis5Code](#)" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.

CodeName	Name	Definition
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 66.1.8.8.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.8.8.3 StandardAmount <StdAmt>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.8.8.4 StandardRate <StdRate>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.8.8.5 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C18 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 66.1.8.8.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

**66.1.8.8.5.2 Rate <Rate>***Presence:* [0..1]*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* "PercentageRate" on page 2835**66.1.8.8.5.3 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the discount or rebate, for example, cash.**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424

**66.1.8.8.5.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a code.*Datatype:* "WaivingInstruction1Code" on page 2822

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

**66.1.8.8.5.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.8.8.6 AppliedAmount <ApIdAmt>***Presence:* [0..1]*Definition:* Fee (charge/commission) amount applied to the transaction.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.8.8.7 AppliedRate <ApIdRate>***Presence:* [0..1]*Definition:* Final rate used to calculate the fee (charge/commission) amount.*Datatype:* "PercentageRate" on page 2835**66.1.8.8.8 NonStandardSLAReference <NonStdSLARef>***Presence:* [0..1]*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).*Datatype:* "Max35Text" on page 2837**66.1.8.8.9 RecipientIdentification <RcptId>***Presence:* [0..1]*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.8.8.10 InformativeIndicator <InftvInd>***Presence:* [1..1]

*Definition:* Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

## 66.1.9 Cheque

### 66.1.9.1 Cheque4

*Definition:* Set of characteristics related to a cheque instruction, such as cheque type or cheque number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1426

#### 66.1.9.1.1 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

## 66.1.10 Clearing System Member Identification

### 66.1.10.1 ClearingSystemMemberIdentification4Choice

*Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.10.1.1 CHIPSUniversalIdentification <USCHU>

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2826

#### 66.1.10.1.2 NewZealandNCCIdentification <NZNCC>

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2830

#### 66.1.10.1.3 IrishNSCIdentification <IENSC>

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2829

#### **66.1.10.1.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2833

#### **66.1.10.1.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2826

#### **66.1.10.1.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2832

#### **66.1.10.1.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2827

#### **66.1.10.1.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2830

#### **66.1.10.1.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]

*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2831

#### **66.1.10.1.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]



*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2829

#### **66.1.10.1.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2824

#### **66.1.10.1.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2825

#### **66.1.10.1.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2833

#### **66.1.10.1.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2827

#### **66.1.10.1.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2832

#### **66.1.10.1.16 SouthAfricanNCCIdentification <ZANCC>**

*Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2832

#### **66.1.10.1.17 HongKongBankCode <HKNCC>**

*Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2828

#### **66.1.10.1.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>**

*Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2827

#### **66.1.10.1.19 AustralianSmallNetworkIdentification <AUBSBs>**

*Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2832

#### **66.1.10.2 ClearingSystemMemberIdentification2Choice**

*Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1431
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1431
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1432
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1432
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1432
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1432
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1432
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1432
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1432
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1433
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1433
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1433
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1433
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1433
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1433
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1433
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1434
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1434
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1434
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1434
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1434
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1434
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1435

#### 66.1.10.2.1 CHIPSUniversalIdentification <USCHU>

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2826

#### 66.1.10.2.2 NewZealandNCCIdentification <NZNCC>

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2830

#### **66.1.10.2.3 IrishNSCIdentification <IENSC>**

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2829

#### **66.1.10.2.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2833

#### **66.1.10.2.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2826

#### **66.1.10.2.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2832

#### **66.1.10.2.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2827

#### **66.1.10.2.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2830

#### **66.1.10.2.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]

*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2831

#### **66.1.10.2.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]

*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2829

#### **66.1.10.2.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2824

#### **66.1.10.2.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2825

#### **66.1.10.2.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2833

#### **66.1.10.2.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2827

#### **66.1.10.2.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2832

#### **66.1.10.2.16 SouthAfricanNCCIdentification <ZANCC>**

*Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2832

#### **66.1.10.2.17 HongKongBankCode <HKNCC>**

*Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2828

#### **66.1.10.2.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>**

*Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2827

#### **66.1.10.2.19 AustralianSmallNetworkIdentification <AUBSBs>**

*Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2832

#### **66.1.10.2.20 IndianFinancialSystemCode <INIFSC>**

*Presence:* [1..1]

*Definition:* Indian Financial System Code - identifies Indian financial institutions on the Indian local clearing system.

*Datatype:* "IndianFinancialSystemCodeIdentifier" on page 2828

#### **66.1.10.2.21 HellenicBankIdentificationCode <GRHEBIC>**

*Presence:* [1..1]

*Definition:* Hellenic Bank Identification Code - identifies Hellenic financial institutions on the Hellenic national clearing system.

*Datatype:* "HellenicBankIdentificationCodeIdentifier" on page 2828

#### **66.1.10.2.22 PolishNationalClearingCode <PLKNR>**

*Presence:* [1..1]

*Definition:* Polish National Clearing Code - identifies Polish financial institutions on the Polish national clearing system.

*Datatype:* "PolishNationalClearingCodeIdentifier" on page 2830

**66.1.10.2.23 OtherClearingCodeIdentification <OthrClrCldId>***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 2837**66.1.10.3 ClearingSystemMemberIdentificationChoice***Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1435
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1436
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1436
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1436
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1436
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1436
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1436
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1436
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1437
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1437
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1437
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1437
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1437
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1437
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1437
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1438
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1438
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1438
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1438

**66.1.10.3.1 CHIPSUniversalIdentification <USCHU>***Presence:* [1..1]*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2826

#### **66.1.10.3.2 NewZealandNCCIdentification <NZNCC>**

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2830

#### **66.1.10.3.3 IrishNSCIdentification <IENSC>**

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2829

#### **66.1.10.3.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2833

#### **66.1.10.3.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2826

#### **66.1.10.3.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2832

#### **66.1.10.3.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2827

#### **66.1.10.3.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2830



**66.1.10.3.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]

*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2831

**66.1.10.3.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]

*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2829

**66.1.10.3.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2824

**66.1.10.3.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2825

**66.1.10.3.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2833

**66.1.10.3.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2827

**66.1.10.3.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2832

**66.1.10.3.16 SouthAfricanNCCIdentification <ZANCC>***Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2832

**66.1.10.3.17 HongKongBankCode <HKNCC>***Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2828

**66.1.10.3.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>***Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2827

**66.1.10.3.19 AustralianSmallNetworkIdentification <AUBSBs>***Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2832

**66.1.11 Commission****66.1.11.1 Commission21**

*Definition:* Amount of money due to a party as compensation for a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1438
{Or	Code <Cd>	[1..1]	CodeSet		1439
Or}	Proprietary <Prtry>	[1..1]	±		1439
	CommissionApplied <ComssnApId>	[1..1]			1439
{Or	Amount <Amt>	[1..1]	Amount	C1	1440
Or}	Rate <Rate>	[1..1]	Rate		1440

**66.1.11.1.1 CommissionType <ComssnTp>***Presence:* [1..1]

*Definition:* Type of commission.

**CommissionType <ComssnTp>** contains one of the following **CommissionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1439
Or}	Proprietary <Prtry>	[1..1]	±		1439

#### 66.1.11.1.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Commission type expressed as a code.

*Datatype:* "CommissionType6Code" on page 2721

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

#### 66.1.11.1.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Commission type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.11.1.2 CommissionApplied <ComssnApId>

*Presence:* [1..1]

*Definition:* Commission amount or commission rate applied.

**CommissionApplied <ComssnApId>** contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1440
Or}	Rate <Rate>	[1..1]	Rate		1440

66.1.11.1.2.1 Amount <Amt>

*Presence:* [1..1]  
*Definition:* Amount of money.  
*Impacted by:* C1 "ActiveCurrency"  
*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

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.

66.1.11.1.2.2 Rate <Rate>

*Presence:* [1..1]  
*Definition:* Rate used to calculate the amount.  
*Datatype:* "PercentageRate" on page 2835

66.1.12 Date Period

66.1.12.1 DatePeriodDetails

*Definition:* Range of time defined by a start date and an end date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1440
	ToDate <ToDt>	[1..1]	Date		1440

66.1.12.1.1 FromDate <FrDt>

*Presence:* [1..1]  
*Definition:* Start date of the range.  
*Datatype:* "ISODate" on page 2822

66.1.12.1.2 ToDate <ToDt>

*Presence:* [1..1]  
*Definition:* End date of the range.  
*Datatype:* "ISODate" on page 2822

66.1.12.2 Tax36

*Definition:* Information about tax.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1441
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441
	AdditionalInformation <AddtlInf>	[0..*]	±		1441

#### 66.1.12.2.1 DateOrPeriod <DtOrPrd>

*Presence:* [1..1]

*Definition:* Date or quarter of the tax year on which tax for the financial instrument is based or calculated.

**DateOrPeriod <DtOrPrd>** contains one of the following **DateQuarter1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1441
Or}	Period <Prd>	[1..1]	Text		1441

##### 66.1.12.2.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date as year, month and day.

*Datatype:* "ISODate" on page 2822

##### 66.1.12.2.1.2 Period <Prd>

*Presence:* [1..1]

*Definition:* Proprietary description of the timeframe.

*Datatype:* "Max35Text" on page 2837

#### 66.1.12.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about tax.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.12.3 DateTimePeriod2

*Definition:* Time span defined by a start date and time, and an end date and time.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1442
	ToDateTime <ToDtTm>	[0..1]	DateTime		1442

#### 66.1.12.3.1 FromDateTime <FrDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

*Datatype:* "ISODatetime" on page 2822

#### 66.1.12.3.2 ToDateTime <ToDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the range ends.

*Datatype:* "ISODatetime" on page 2822

### 66.1.13 Date Time

#### 66.1.13.1 DateAndDateTimeChoice

*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		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

##### 66.1.13.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* "ISODate" on page 2822

##### 66.1.13.1.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* "ISODatetime" on page 2822

#### 66.1.13.2 DateAndDateTime1Choice

*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		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.13.2.1 Date <Dt>***Presence:* [1..1]*Definition:* Numeric representation of the day of the month and year.*Datatype:* "ISODate" on page 2822**66.1.13.2.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Numeric representation of time of the day and the day of the month and year.*Datatype:* "ISODateTime" on page 2822**66.1.13.3 DateTimePeriodDetails***Definition:* Time span defined by a start date and time, and an end date and time.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1443
	ToDateTime <ToDtTm>	[1..1]	DateTime		1443

**66.1.13.3.1 FromDateTime <FrDtTm>***Presence:* [1..1]*Definition:* Date and time at which the range starts.*Datatype:* "ISODateTime" on page 2822**66.1.13.3.2 ToDateTime <ToDtTm>***Presence:* [1..1]*Definition:* Date and time at which the range ends.*Datatype:* "ISODateTime" on page 2822**66.1.13.4 DateFormat42Choice***Definition:* Choice of formats for a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1443
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1444

**66.1.13.4.1 YearMonth <YrMnth>***Presence:* [1..1]*Definition:* Year and month.*Datatype:* "ISOYearMonth" on page 2839

**66.1.13.4.2 YearMonthDay <YrMnthDay>***Presence:* [1..1]*Definition:* Year, month and day.*Datatype:* "ISODate" on page 2822**66.1.13.5 FiscalYear1Choice***Definition:* Choice of start date and end date for the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1444
Or}	EndDate <EndDt>	[1..1]	Date		1444

**66.1.13.5.1 StartDate <StartDt>***Presence:* [1..1]*Definition:* Start date of the fiscal year.*Datatype:* "ISODate" on page 2822**66.1.13.5.2 EndDate <EndDt>***Presence:* [1..1]*Definition:* End date of the fiscal year.*Datatype:* "ISODate" on page 2822**66.1.13.6 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		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**66.1.13.6.1 Date <Dt>***Presence:* [1..1]*Definition:* Specified date.*Datatype:* "ISODate" on page 2822**66.1.13.6.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Specified date and time.*Datatype:* "ISODatetime" on page 2822



## 66.1.14 Date Time Period

### 66.1.14.1 TimeHorizon2Choice

*Definition:* Choice of formats for a time horizon.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1445
Or}	TimeFrame <TmFrame>	[1..1]			1445
{Or	Code <Cd>	[1..1]	CodeSet		1445
Or}	Proprietary <Prtry>	[1..1]	±		1445

#### 66.1.14.1.1 NumberOfYears <NbOfYrs>

*Presence:* [1..1]

*Definition:* Minimum recommended holding (RHP) period.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.14.1.2 TimeFrame <TmFrame>

*Presence:* [1..1]

*Definition:* Time frame as a qualitative value.

**TimeFrame <TmFrame>** contains one of the following **TimeFrame9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1445
Or}	Proprietary <Prtry>	[1..1]	±		1445

#### 66.1.14.1.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Time frame expressed as a code.

*Datatype:* "TimeFrame2Code" on page 2811

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

#### 66.1.14.1.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Time frame expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.14.2 TimeFrame9

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1446
	TradeMinus <TMns>	[0..1]	Quantity		1446
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1447
	ReferToOrderDesk <RefrToOrdRdsk>	[0..1]	CodeSet		1447

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

#### 66.1.14.2.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.14.2.2 TradeMinus <TMns>

*Presence:* [0..1]

*Definition:* Number of days before the trade date (T) used for the standard timeframe for the dealing cut-off.

*Datatype:* "[Number](#)" on page 2834

**66.1.14.2.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>***Presence:* [0..1]*Definition:* Convention used for adjusting a date when it is not a business day.*Datatype:* "BusinessDayConvention1Code" on page 2714

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

**66.1.14.2.4 ReferToOrderDesk <RefrToOrdrDsk>***Presence:* [0..1]*Definition:* For the dealing cut-off time, the order desk must be contacted.*Datatype:* "ReferToFundOrderDesk1Code" on page 2781

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

**66.1.14.3 TimeFrame8***Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1448
	TradePlus <TPlus>	[0..1]	Quantity		1448
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1448
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1448

**Constraints**

- NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**66.1.14.3.1 OtherTimeFrameDescription <OthrTmFrameDesc>***Presence:* [0..1]*Definition:* Description of the timeframe.*Datatype:* "Max350Text" on page 2837**66.1.14.3.2 TradePlus <TPlus>***Presence:* [0..1]*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.*Datatype:* "Number" on page 2834**66.1.14.3.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>***Presence:* [0..1]*Definition:* Convention used for adjusting a date when it is not a business day.*Datatype:* "BusinessDayConvention1Code" on page 2714

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

**66.1.14.3.4 ReferToOrderDesk <RefrToOrdrDsk>***Presence:* [0..1]*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.*Datatype:* "ReferToFundOrderDesk1Code" on page 2781

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

**66.1.14.4 DateOrDateTimePeriodChoice***Definition:* Choice between a date or a date and time format for a period.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1448
Or}	DateTime <DtTm>	[1..1]	±		1449

**66.1.14.4.1 Date <Dt>***Presence:* [1..1]*Definition:* Period expressed with dates.

**Date <Dt>** contains the following elements (see ["DatePeriodDetails"](#) on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1440
	ToDate <ToDt>	[1..1]	Date		1440

#### 66.1.14.4.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Period expressed a dates and times.

**DateTime <DtTm>** contains the following elements (see ["DateTimePeriodDetails"](#) on page 1443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1443
	ToDateTime <ToDtTm>	[1..1]	DateTime		1443

#### 66.1.14.5 TimeFrame10

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1449
	TradePlus <TPlus>	[0..1]	Quantity		1450
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1450
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1450

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 66.1.14.5.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "Max350Text" on page 2837

#### 66.1.14.5.2 TradePlus <TPlus>

*Presence:* [0..1]

*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

*Datatype:* "Number" on page 2834

#### 66.1.14.5.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2714

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 66.1.14.5.4 ReferToOrderDesk <RefrToOrdrDsk>

*Presence:* [0..1]

*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2781

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### 66.1.14.6 TimeFrame11

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1451
	TradePlus <TPlus>	[0..1]	Quantity		1451
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1451
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1451

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True  
/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition  
/TradePlus is present  
Following Must be True  
/NonWorkingDayAdjustment Must be present

#### 66.1.14.6.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "Max350Text" on page 2837

#### 66.1.14.6.2 TradePlus <TPlus>

*Presence:* [0..1]

*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

*Datatype:* "Number" on page 2834

#### 66.1.14.6.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2714

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 66.1.14.6.4 ReferToOrderDesk <RefrToOrdrDsk>

*Presence:* [0..1]

*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2781

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

## 66.1.15 De Minimus

### 66.1.15.1 DeMinimus1Choice

*Definition:* De minimus applicability conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsAplbl>	[1..1]	±		1452
Or}	DeMinimusNotApplicable <DeMnmsNotAplbl>	[1..1]	±		1452

#### 66.1.15.1.1 DeMinimusApplicable <DeMnmsAplbl>

*Presence:* [1..1]

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

**DeMinimusApplicable <DeMnmsAplbl>** contains the following elements (see ["DeMinimusApplicable1"](#) on page 1452 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIssePrmssn>	[1..1]	Indicator		1452
	Percentage <Pctg>	[0..1]	Rate		1453

#### 66.1.15.1.2 DeMinimusNotApplicable <DeMnmsNotAplbl>

*Presence:* [1..1]

*Definition:* Conditions applicable when the investor is not covered by the "de minimis" exemption.

**DeMinimusNotApplicable <DeMnmsNotAplbl>** contains the following elements (see ["DeMinimusNotApplicable1"](#) on page 1453 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		1453

#### 66.1.15.2 DeMinimusApplicable1

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIssePrmssn>	[1..1]	Indicator		1452
	Percentage <Pctg>	[0..1]	Rate		1453

#### 66.1.15.2.1 NewIssuePermission <NewIssePrmssn>

*Presence:* [1..1]

*Definition:* Indicates whether the investor permits its beneficial owners that are restricted persons, if any, to participate in profits and losses allocated to the investor that are attribute to new issue securities.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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



**66.1.15.2.2 Percentage <Pctg>***Presence:* [0..1]*Definition:* Percentage of the new issue profits and losses that it receives to beneficial owners that are restricted persons.*Datatype:* "PercentageRate" on page 2835**66.1.15.3 DeMinimusNotApplicable1***Definition:* Conditions applicable when the investor is not covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		1453

**66.1.15.3.1 RestrictedPersonReason <RstrctdPrsnRsn>***Presence:* [1..1]*Definition:* Reason for the restricted person.*Datatype:* "Max350Text" on page 2837**66.1.16 Direct Debit****66.1.16.1 DirectDebitMandate6***Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1453
	Debtor <Dbtr>	[0..1]	±		1454
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1454
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1454
	Creditor <Cdtr>	[0..1]	±		1454
	DebtorAgent <DbtrAgt>	[1..1]	±		1454
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1455
	CreditorAgent <CdtrAgt>	[0..1]	±		1455
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1455
	RegistrationIdentification <RegnId>	[0..1]	Text		1456
	MandateIdentification <MndtId>	[0..1]	Text		1456

**66.1.16.1.1 DebtorAccount <DbtrAcct>***Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </Id>	[1..1]	±		1291
	Name </Nm>	[0..1]	Text		1291

#### 66.1.16.1.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.16.1.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.1.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.1.5 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.16.1.6 DebtorAgent <DbtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution that receives the direct debit instruction from the creditor or other authorised party.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.16.1.7 DebtorAgentBranch <DbtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**DebtorAgentBranch <DbtrAgtBrnch>** contains the following elements (see "[BranchData](#)" on page 1468 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1469
	Name <Nm>	[0..1]	Text		1469
	PostalAddress <PstlAdr>	[0..1]	±		1469

#### 66.1.16.1.8 CreditorAgent <CdtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.16.1.9 CreditorAgentBranch <CdtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**CreditorAgentBranch <CdtrAgtBrnch>** contains the following elements (see "BranchData" on page 1468 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1469
	Name <Nm>	[0..1]	Text		1469
	PostalAddress <PstlAdr>	[0..1]	±		1469

#### 66.1.16.1.10 RegistrationIdentification <RegnId>

*Presence:* [0..1]

*Definition:* Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

*Datatype:* "Max35Text" on page 2837

#### 66.1.16.1.11 MandateIdentification <MndtId>

*Presence:* [0..1]

*Definition:* Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

*Datatype:* "Max35Text" on page 2837

### 66.1.16.2 DirectDebitMandate8

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1456
	Debtor <Dbtr>	[0..1]	±		1457
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1457
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1457
	Creditor <Cdtr>	[0..1]	±		1457
	DebtorAgent <DbtrAgt>	[1..1]	±		1457
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1458
	CreditorAgent <CdtrAgt>	[0..1]	±		1458
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1458
	RegistrationIdentification <RegnId>	[0..1]	Text		1459
	MandateIdentification <MndtId>	[0..1]	Text		1459

#### 66.1.16.2.1 DebtorAccount <DbtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.16.2.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.16.2.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.2.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.2.5 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.16.2.6 DebtorAgent <DbtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution that receives the direct debit instruction from the creditor or other authorised party.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.16.2.7 DebtorAgentBranch <DbtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**DebtorAgentBranch <DbtrAgtBrnch>** contains the following elements (see "[BranchData4](#)" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.16.2.8 CreditorAgent <CdtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.16.2.9 CreditorAgentBranch <CdtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**CreditorAgentBranch <CdtrAgtBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.16.2.10 RegistrationIdentification <RegnId>

*Presence:* [0..1]

*Definition:* Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

*Datatype:* "Max35Text" on page 2837

#### 66.1.16.2.11 MandateIdentification <MndtId>

*Presence:* [0..1]

*Definition:* Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

*Datatype:* "Max35Text" on page 2837

### 66.1.16.3 DirectDebitMandate7

*Definition:* Direct debit mandate parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1459
	Debtor <Dbtr>	[0..1]	±		1460
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1460
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1460
	Creditor <Cdtr>	[0..1]	±		1460
	DebtorAgent <DbtrAgt>	[1..1]	±		1461
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1461
	CreditorAgent <CdtrAgt>	[0..1]	±		1461
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1462
	RegistrationIdentification <RegnId>	[0..1]	Text		1462
	MandateIdentification <MndtId>	[0..1]	Text		1462

#### 66.1.16.3.1 DebtorAccount <DbtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.16.3.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

**Debtor <Dbtr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.16.3.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.3.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.16.3.5 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977



**66.1.16.3.6 DebtorAgent <DbtrAgt>***Presence:* [1..1]*Definition:* Financial institution that receives the direct debit instruction from the creditor or other authorised party.**DebtorAgent <DbtrAgt>** contains one of the following elements (see "FinancialInstitutionIdentification11Choice" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

**66.1.16.3.7 DebtorAgentBranch <DbtrAgtBrnch>***Presence:* [0..1]*Definition:* Information identifying 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.

**DebtorAgentBranch <DbtrAgtBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

**66.1.16.3.8 CreditorAgent <CdtrAgt>***Presence:* [0..1]*Definition:* Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

**CreditorAgent <CdtrAgt>** contains one of the following elements (see "FinancialInstitutionIdentification11Choice" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

#### 66.1.16.3.9 CreditorAgentBranch <CdtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**CreditorAgentBranch <CdtrAgtBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.16.3.10 RegistrationIdentification <RegnId>

*Presence:* [0..1]

*Definition:* Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

*Datatype:* "Max35Text" on page 2837

#### 66.1.16.3.11 MandateIdentification <MndtId>

*Presence:* [0..1]

*Definition:* Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

*Datatype:* "Max35Text" on page 2837

## 66.1.17 Financial Institution Identification

### 66.1.17.1 FinancialInstitutionIdentification11Choice

*Definition:* Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

#### 66.1.17.1.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Identifies the name and (long) postal address of a financial institution.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.17.1.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "[BICFIDec2014Identifier](#)" on page 2824

##### 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.

#### 66.1.17.1.3 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.17.1.4 ProprietaryIdentification <Prtryld>

*Presence:* [1..1]

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

**ProprietaryIdentification <Prtryld>** contains the following **SimpleIdentificationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1464

##### 66.1.17.1.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "Max35Text" on page 2837

### 66.1.17.2 FinancialInstitutionIdentification9Choice

*Definition:* Choice between formats for the identification of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1465
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1465
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1465
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1466

#### 66.1.17.2.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Identifies the name and (long) postal address of a financial institution.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.17.2.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C7 "BICFI"

*Datatype:* "BICFIIdentifier" on page 2824

#### Constraints

- **BICFI**

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

#### 66.1.17.2.3 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.17.2.4 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.3 BranchData4

*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		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.17.3.1 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.3.2 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.3.3 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.17.4 BranchData2

*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		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.17.4.1 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.4.2 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 2836

#### 66.1.17.4.3 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress6" on page 2330 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2330
	Department <Dept>	[0..1]	Text		2331
	SubDepartment <SubDept>	[0..1]	Text		2331
	StreetName <StrtNm>	[0..1]	Text		2331
	BuildingNumber <BldgNb>	[0..1]	Text		2331
	PostCode <PstCd>	[0..1]	Text		2331
	TownName <TwnNm>	[0..1]	Text		2331
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2331
	Country <Ctry>	[0..1]	CodeSet	C12	2332
	AddressLine <AdrLine>	[0..7]	Text		2332

#### 66.1.17.5 BranchData

*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		1469
	Name <Nm>	[0..1]	Text		1469
	PostalAddress <PstlAdr>	[0..1]	±		1469

#### 66.1.17.5.1 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.5.2 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.17.5.3 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.17.6 FinancialInstitutionIdentification15

*Definition:* Identification of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.17.6.1 Party <Pty>***Presence:* [1..1]*Definition:* Unique identification of the party.**Party <Pty>** contains one of the following elements (see "[FinancialInstitutionIdentification9Choice](#)" on page 1465 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1465
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1465
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1465
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1466

**66.1.17.6.2 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identification as an alternate identification for the party.*Datatype:* "[LEIIdentifier](#)" on page 2830**66.1.17.7 FinancialInstitutionIdentification10***Definition:* Identification of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.17.7.1 Party <Pty>***Presence:* [1..1]*Definition:* Unique identification of the party.**Party <Pty>** contains one of the following elements (see "[FinancialInstitutionIdentification8Choice](#)" on page 1471 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1471
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1471
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1471
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1472

**66.1.17.7.2 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

### 66.1.17.8 FinancialInstitutionIdentification8Choice

*Definition:* Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1471
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1471
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1471
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1472

#### 66.1.17.8.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Identifies the name and (long) postal address of a financial institution.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.17.8.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C7 "BICFI"

*Datatype:* "BICFIIdentifier" on page 2824

#### Constraints

- **BICFI**

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

#### 66.1.17.8.3 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentificationChoice" on page 1435 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1435
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1436
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1436
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1436
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1436
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1436
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1436
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1436
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1437
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1437
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1437
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1437
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1437
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1437
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1437
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1438
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1438
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1438
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1438

#### 66.1.17.8.4 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

## 66.1.18 Financial Instrument

### 66.1.18.1 FinancialInstrument96

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScties>	[0..1]	Indicator		1473
	DematerialisedBearerSecurities <DmtrlSdBrScties>	[0..1]	Indicator		1474
	PhysicalRegisteredSecurities <PhysRegdScties>	[0..1]	Indicator		1474
	DematerialisedRegisteredSecurities <DmtrlSdRegdScties>	[0..1]	Indicator		1474
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1474
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1474
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1475
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1475
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1476
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1476
	SwitchFee <SwchFee>	[0..1]	Indicator		1476
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1476
	LaunchDate <LnchDt>	[0..1]	Date		1477
	FundEndDate <FndEndDt>	[0..1]	Date		1477
	TerminationDate <TermntnDt>	[0..1]	Date		1477
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1477
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1477
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1477
	MaturityDate <MtrtyDt>	[0..1]	Date		1477
	MaybeTerminatedEarly <MayBeTermntdEarly>	[0..1]	CodeSet		1478
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1478
	Equalisation <Equlstn>	[0..1]	Indicator		1478
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1478
	Authorised <Authrsd>	[0..1]	Indicator		1478
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1479
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1479
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1479
	AdditionalInformation <AddtlInf>	[0..*]	±		1479

#### 66.1.18.1.1 PhysicalBearerSecurities <PhysBrScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold bearer units/shares in this class in certified form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.18.1.2 DematerialisedBearerSecurities <DmtrlSdBrscties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold bearer units/shares in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.18.1.3 PhysicalRegisteredSecurities <PhysRegdScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold registered units/shares in this class in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.18.1.4 DematerialisedRegisteredSecurities <DmtrlSdRegdScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold registered units/shares in this class in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.18.1.5 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* ["DistributionPolicy1Code" on page 2730](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 66.1.18.1.6 DividendPolicy <DvddPlcy>

*Presence:* [0..1]

*Definition:* Dividend policy of the fund, for example, cash, units.

*Datatype:* ["DividendPolicy1Code" on page 2730](#)

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

#### 66.1.18.1.7 DividendFrequency <DvddFrqcy>

*Presence:* [0..1]

*Definition:* Frequency with which the income is allocated to investors.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.18.1.8 ReinvestmentFrequency <RinvstmtFrqcy>

*Presence:* [0..1]

*Definition:* Frequency with which the reinvestment takes place, this is the same or less than the dividend frequency.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.18.1.9 FrontEndLoad <FrntEndLd>

*Presence:* [0..1]

*Definition:* Indicates whether a front end charge on subscription orders for this class can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.18.1.10 BackEndLoad <BckEndLd>

*Presence:* [0..1]

*Definition:* Indicates whether an exit charge (for example, CDSC) on redemption orders for this class can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.18.1.11 SwitchFee <SwchFee>

*Presence:* [0..1]

*Definition:* Indicates whether a separate fee for switching between sub-funds of the same umbrella can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.18.1.12 EUSavingsDirective <EUSvgsDrctv>

*Presence:* [0..1]

*Definition:* Indicates whether the investment fund class is subject to the European Union Saving Directive.

*Datatype:* ["EUSavingsDirective1Code"](#) on page 2733

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.



CodeName	Name	Definition
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

**66.1.18.1.13 LaunchDate <LnchDt>***Presence:* [0..1]*Definition:* Date on which the fund is open for investment.*Datatype:* "ISODate" on page 2822**66.1.18.1.14 FundEndDate <FndEndDt>***Presence:* [0..1]*Definition:* Date on which the fund is closed to investment.*Datatype:* "ISODate" on page 2822**66.1.18.1.15 TerminationDate <TermntnDt>***Presence:* [0..1]*Definition:* Date the fund closes.*Datatype:* "ISODate" on page 2822**66.1.18.1.16 InitialOfferEndDate <InitlOfferEndDt>***Presence:* [0..1]*Definition:* Date on which the discount period of the newly launched investment fund ends.*Datatype:* "ISODate" on page 2822**66.1.18.1.17 SuspensionStartDate <SspnsnStartDt>***Presence:* [0..1]*Definition:* Date on which valuation of the investment fund class is suspended.*Datatype:* "ISODate" on page 2822**66.1.18.1.18 SuspensionEndDate <SspnsnEndDt>***Presence:* [0..1]*Definition:* Date on which valuation of the investment fund class is unsuspended.*Datatype:* "ISODate" on page 2822**66.1.18.1.19 MaturityDate <MtrtyDt>***Presence:* [0..1]*Definition:* Maturity date of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00065.*Datatype:* "ISODate" on page 2822

**66.1.18.1.20 MayBeTerminatedEarly <MayBeTermntdEarly>**

*Presence:* [0..1]

*Definition:* Specifies whether the product may be terminated early. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00067.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**66.1.18.1.21 ClosedEndFund <ClsdEndFnd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is close-ended.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.18.1.22 Equalisation <Equlstn>**

*Presence:* [0..1]

*Definition:* Indicates whether equalisation is applied.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.18.1.23 TaxEfficientProductEligible <TaxEffcntPdctElgbl>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is eligible for a tax efficient product.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.18.1.24 Authorised <Authrsd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is authorised by the regulatory compliance authority.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.18.1.25 RDRCompliant <RDRCmplnt>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is compliant with the Retail Distribution Review (RDR).

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.18.1.26 ManagementFeeSource <MgmtFeeSrc>**

*Presence:* [0..1]

*Definition:* Specifies from where the management fee is taken.

*Datatype:* ["AnnualChargePaymentType1Code"](#) on page 2712

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

**66.1.18.1.27 PerformanceFee <PrfrmncFee>**

*Presence:* [0..1]

*Definition:* Indicates whether there is a performance fee feature or carried interest. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00045.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.18.1.28 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the fund.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.18.2 TaxEfficientProduct4**

*Definition:* Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1480
	CurrentYear <CurYr>	[0..1]	Indicator		1480
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1481

#### 66.1.18.2.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "[TaxEfficientProductType2Choice](#)" on page 1497 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1497
Or}	Proprietary <Prtry>	[1..1]	±		1498

#### 66.1.18.2.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are to be included.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.18.2.3 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* [C23 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains one of the following elements (see "[PreviousYear2Choice](#)" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1870

**Constraints**

- **SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**66.1.18.2.4 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.18.3 FinancialInstrument9**

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**66.1.18.3.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2399

#### 66.1.18.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.18.3.3 SupplementaryIdentification <Splmtryld>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.18.3.4 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.18.3.5 ClassType <ClsTp>**

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837

**66.1.18.3.6 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.18.3.7 DistributionPolicy <DstrbtnPlcy>**

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.18.3.8 DualFundIndicator <DualFndInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.18.4 FinancialInstrument87

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

##### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

##### 66.1.18.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.



**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.18.4.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.18.4.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.4.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2837

**66.1.18.4.5 ClassType <ClsTp>***Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837**66.1.18.4.6 SecuritiesForm <SctiesForm>***Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.18.4.7 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.18.4.8 ProductGroup <PdctGrp>***Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2836**66.1.18.4.9 BlockedHoldingDetails <BlckdHldgDtls>***Presence:* [0..1]

*Definition:* When an account at fund or security level is blocked, this specifies details on how the holding is blocked.

*Impacted by:* C18 "HoldingCertificateNumberRule", C26 "PartialHoldingUnits1Rule", C27 "PartialHoldingUnits2Rule", C28 "PartialHoldingUnits3Rule"

**BlockedHoldingDetails <BlckdHldgDtls>** contains the following **BlockedHoldingDetails2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488

#### Constraints

- **HoldingCertificateNumberRule**

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

On Condition

/BlockedHolding is equal to value 'Certificate'

Following Must be True

/HoldingCertificateNumber Must be present

- **PartialHoldingUnits1Rule**

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

On Condition

/BlockedHolding is equal to value 'NonPartialHolding'

Following Must be True

/PartialHoldingUnits Must be absent

- **PartialHoldingUnits2Rule**

If BlockHolding is PRTH (PartialHolding) then PartialHoldingUnits is mandatory.

On Condition

/BlockedHolding is equal to value 'PartialHolding'

Following Must be True

/PartialHoldingUnits Must be present

- **PartialHoldingUnits3Rule**

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

On Condition

/BlockedHolding is equal to value 'Certificate'

Following Must be True

/PartialHoldingUnits Must be absent

#### 66.1.18.4.9.1 BlockedHolding <BlckdHldg>

*Presence:* [1..1]

*Definition:* Specifies how the blocked account holding is defined.

*Datatype:* "Holding1Code" on page 2743

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.
PRTH	PartialHolding	Partial holding.

#### 66.1.18.4.9.2 PartialHoldingUnits <PrtlHldgUnits>

*Presence:* [0..1]

*Definition:* When an account is blocked at the level of fund or security, partially, this is the number of units blocked.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.18.4.9.3 HoldingCertificateNumber <HldgCertNb>

*Presence:* [0..1]

*Definition:* When an account is blocked at the level of fund or security, this specifies the certificate number of the blocked units.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.4.10 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2731

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 66.1.18.4.11 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2720

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 66.1.18.4.12 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see "ThirdPartyRights2" on page 1627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1627
	DateTime <DtTm>	[0..1]	DateTime		1627
	Holder <Hldr>	[0..1]	±		1627
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1628
	Amount <Amt>	[0..1]	Amount	C1, C13	1628
	Description <Desc>	[0..1]	Text		1628

**66.1.18.4.13 FundOwnership <FndOwnrsh>***Presence:* [0..1]*Definition:* Specifies if all the shares are owned exclusively by the fund company.*Datatype:* "FundOwnership1Code" on page 2741

CodeName	Name	Definition
YALL	AllOwned	All shares owned.
NALL	NotAllOwned	Not all shares owned.

**66.1.18.4.14 FundIntention <FndIntntn>***Presence:* [0..1]*Definition:* Specifies if the fund is intended for qualified investors.*Datatype:* "FundIntention1Code" on page 2739

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

**66.1.18.4.15 OperationalStatus <OprlSts>***Presence:* [0..1]*Definition:* Operational status of the fund.*Datatype:* "OperationalStatus1Code" on page 2765

CodeName	Name	Definition
ENAB	Enabled	Enabled.
SPEC	SpecialCircumstances	Special circumstances.

**66.1.18.5 TaxEfficientProduct6***Definition:* Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1490
	CurrentYear <CurYr>	[0..1]	Indicator		1490
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1490
	PreviousYears <PrvsYrs>	[0..1]		C36	1491
	PreviousYears <PrvsYrs>	[1..1]			1491
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1491
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1491
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1492
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C39	1492
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1492
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	1492
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	1493
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	1493
	AdditionalInformation <AddtlInf>	[0..*]	±		1493

#### 66.1.18.5.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1497 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1497
Or}	Proprietary <Prtry>	[1..1]	±		1498

#### 66.1.18.5.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are to be included.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.18.5.3 CashComponentIndicator <CshCmpntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.18.5.4 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* [C36 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			1491
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1491
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1491
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1492

#### Constraints

- **SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

#### 66.1.18.5.4.1 PreviousYears <PrvsYrs>

*Presence:* [1..1]

*Definition:* Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1491
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1491

#### 66.1.18.5.4.1.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.

*Datatype:* ["PreviousAll"](#) on page 2839

#### 66.1.18.5.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* ["ISOYear"](#) on page 2839

**66.1.18.5.4.2 CashComponentIndicator <CshCmpntInd>***Presence:* [0..1]*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.18.5.5 CurrentYearSubscriptionDetails <CurYrSbcptDtls>***Presence:* [0..1]*Definition:* Amounts already subscribed for the current year.*Impacted by:* [C39 "TotalAmountYearToDateRule"](#)

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1492
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C1	1492
	CashComponent <CshCmpnt>	[0..1]	Amount	C1	1493
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C1	1493

**Constraints**

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**66.1.18.5.5.1 DateOfFirstSubscription <DtOfFrstSbcpt>***Presence:* [1..1]*Definition:* Date of the first subscription in the current year.*Datatype:* ["ISODate"](#) on page 2822**66.1.18.5.5.2 EquityComponent <EqtyCmpnt>***Presence:* [0..1]*Definition:* Amount subscribed in the current tax year into equities (not including dividends).*Impacted by:* [C1 "ActiveCurrency"](#)*Datatype:* ["ActiveCurrencyAnd13DecimalAmount"](#) on page 2704**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.

#### 66.1.18.5.5.3 CashComponent <CshCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### 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.

#### 66.1.18.5.5.4 TotalAmountYearToDate <TtlAmtYrToDt>

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### 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.

#### 66.1.18.5.6 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.18.6 FinancialInstrument8

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1494
	Name <Nm>	[0..1]	Text		1495
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1495
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	1495
	ClassType <ClsTp>	[0..1]	Text		1496
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1496
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1496
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1496

### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.18.6.1 Identification <Id>

*Presence:* [1..10]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

#### 66.1.18.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.18.6.3 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.18.6.4 DenominationCurrency <DnmtnCcy>

*Presence:* [0..1]

*Definition:* Currency in which a security is issued or redenominated.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.18.6.5 ClassType <ClsTp>**

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837

**66.1.18.6.6 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.18.6.7 DistributionPolicy <DstrbtnPlcy>**

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.18.6.8 DualFundIndicator <DualFndInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

### 66.1.18.7 TaxEfficientProductType2Choice

*Definition:* Choice of formats for a type of tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1497
Or}	Proprietary <Prtry>	[1..1]	±		1498

#### 66.1.18.7.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax efficient product expressed as a code.

*Datatype:* "TaxEfficientProductType2Code" on page 2801

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringssparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNF	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

**66.1.18.7.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of tax efficient product expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.18.8 FinancialInstrument88***Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1498
	Name <Nm>	[0..1]	Text		1499
	ShortName <ShrtNm>	[0..1]	Text		1499
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1499
	ClassType <ClsTp>	[0..1]	Text		1500
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1500
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1500
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1500

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.18.8.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.18.8.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.18.8.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.8.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument.

*Datatype:* "Max35Text" on page 2837

**66.1.18.8.5 ClassType <ClsTp>***Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837**66.1.18.8.6 SecuritiesForm <SctiesForm>***Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.18.8.7 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.18.8.8 DematerialisedIndicator <DmtrlsdInd>***Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.18.9 GeneralInvestmentAccountType2Choice**

*Definition:* Choice of formats for a type of investment account.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1501
Or}	Proprietary <Prtry>	[1..1]	±		1501

#### 66.1.18.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of investment account expressed as a code.

*Datatype:* "GeneralInvestmentAccountType2Code" on page 2742

CodeName	Name	Definition
ANYY	Any	Any type of general investment account.
EQUI	ShareSavingsAccount	General shares or equity savings account.

#### 66.1.18.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of investment account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.18.10 AdditionalInformation15

*Definition:* Additional information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.18.10.1 InformationType <InfTp>

*Presence:* [1..1]

*Definition:* Type of additional information.

**InformationType <InfTp>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.18.10.2 InformationValue <InfVal>

*Presence:* [1..1]

*Definition:* Value of the additional information.

*Datatype:* "Max350Text" on page 2837

#### 66.1.18.11 GovernanceProcess1Choice

*Definition:* Choice of formats for a type of governance process.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1502
Or}	Proprietary <Prtry>	[1..1]	±		1502

##### 66.1.18.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of governance process expressed as a code.

*Datatype:* "GovernanceProcessType1Code" on page 2743

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

##### 66.1.18.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of governance process expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.18.12 GeneralInvestment2

*Definition:* Information about a general investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1503
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1503
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C1	1505
	EstimatedValue <EstmtdVal>	[0..1]	±		1505
	AdditionalInformation <AddtlInf>	[0..*]	±		1505

#### 66.1.18.12.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of investment.

**Type <Tp>** contains one of the following elements (see "[GeneralInvestmentAccountType2Choice](#)" on page 1500 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1501
Or}	Proprietary <Prtry>	[1..1]	±		1501

#### 66.1.18.12.2 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Specifies whether the account is, for example, in a nominee name or own name.

*Datatype:* "[AccountOwnershipType6Code](#)" on page 2709

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.

CodeName	Name	Definition
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	Person having the temporary right to use and derive income or benefit from someone else's property.

#### 66.1.18.12.3 CurrentInvestmentAmount <CurlInvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### 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.

#### 66.1.18.12.4 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the assets.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C2, C10	1304

#### 66.1.18.12.5 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the portfolio.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.18.13 QuotationType1Choice

*Definition:* Choice of formats for a type of quotation

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1506
Or}	Proprietary <Prtry>	[1..1]	±		1506

#### 66.1.18.13.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of quotation expressed as a code.

*Datatype:* "QuotationType1Code" on page 2780

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.
PRCT	Percentage	Quotation is expressed as percentage.

#### 66.1.18.13.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of quotation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.18.14 FinancialInstrument71

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1507
	ShortName <ShrtNm>	[0..1]	Text		1508
	Name <Nm>	[0..1]	Text		1508
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1508
	ClassType <ClsTp>	[0..1]	Text		1508
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1508
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1509
	ProductGroup <PdctGrp>	[0..1]	Text		1509

#### 66.1.18.14.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security, typically by an ISIN.

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

**Identification <Id>** contains the following elements (see "SecurityIdentification19" on page 1509 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1510
	OtherIdentification <OthrlId>	[0..*]			1510
	Identification <Id>	[1..1]	Text		1510
	Suffix <Sfx>	[0..1]	Text		1511
	Type <Tp>	[1..1]	±		1511
	Description <Desc>	[0..1]	Text		1511

#### 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
```

#### 66.1.18.14.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.14.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.18.14.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.14.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example,, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.14.6 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Specifies the form, that is, ownership, of the security.



*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.18.14.7 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 66.1.18.14.8 ProductGroup <PdctGrp>

*Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2836

#### 66.1.18.15 SecurityIdentification19

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1510
	OtherIdentification <OthrId>	[0..*]			1510
	Identification </Id>	[1..1]	Text		1510
	Suffix <Sfx>	[0..1]	Text		1511
	Type <Tp>	[1..1]	±		1511
	Description <Desc>	[0..1]	Text		1511

#### 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

#### 66.1.18.15.1 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 2829

#### 66.1.18.15.2 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		1510
	Suffix <Sfx>	[0..1]	Text		1511
	Type <Tp>	[1..1]	±		1511

##### 66.1.18.15.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.15.2.2 Suffix <Sfx>

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* "Max16Text" on page 2836

#### 66.1.18.15.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 1573 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1573
Or}	Proprietary <Prtry>	[1..1]	Text		1573

#### 66.1.18.15.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 2836

#### 66.1.18.16 FinancialInstrument13

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1511
	Name <Nm>	[0..1]	Text		1512
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1512
	ClassType <ClsTp>	[0..1]	Text		1512
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1513
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1513

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.18.16.1 Identification <Id>

*Presence:* [1..1]

**Definition:** Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

#### 66.1.18.16.2 Name <Nm>

**Presence:** [0..1]

**Definition:** Name of the financial instrument in free format text.

**Datatype:** "[Max350Text](#)" on page 2837

#### 66.1.18.16.3 SupplementaryIdentification <SplmtryId>

**Presence:** [0..1]

**Definition:** Additional information about a financial instrument to help identify the instrument.

**Datatype:** "[Max35Text](#)" on page 2837

#### 66.1.18.16.4 ClassType <ClsTp>

**Presence:** [0..1]

**Definition:** Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

**Datatype:** "[Max35Text](#)" on page 2837

**66.1.18.16.5 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.18.16.6 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.18.17 FinancialInstrument57***Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.18.17.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification25Choice](#)" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

**66.1.18.17.2 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2837

**66.1.18.17.3 ShortName <ShrtNm>**

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.17.4 SupplementaryIdentification <Splmtryld>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.17.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837

#### 66.1.18.17.6 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.18.17.7 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 66.1.18.17.8 ProductGroup <PdctGrp>

*Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2836

**66.1.18.17.9 SeriesIdentification <SrsId>***Presence:* [0..1]*Definition:* Choice of formats for the identification of a series.*Impacted by:* C9 "SeriesElementRule"**SeriesIdentification <SrsId>** contains the following **Series1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- **SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**66.1.18.17.9.1 SeriesDate <SrsDt>***Presence:* [0..1]*Definition:* Issue date of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription order, if known.**SeriesDate <SrsDt>** contains one of the following elements (see "DateFormat42Choice" on page 1443 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1443
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1444

**66.1.18.17.9.2 SeriesName <SrsNm>***Presence:* [0..1]*Definition:* Name of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription, if known.*Datatype:* "Max35Text" on page 2837**66.1.19 Financial Instrument Identification****66.1.19.1 FinancialInstrumentIdentification3***Definition:* Identification of a security.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1517
	Name <Nm>	[0..1]	Text		1518
	ShortName <ShrtNm>	[0..1]	Text		1518
	ClassificationType <ClssfctnTp>	[0..1]	±		1518
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1519
	AlternateSecurity <AltrnScty>	[0..*]		C21	1519
	Identification <Id>	[1..1]	±		1519
	Name <Nm>	[0..1]	Text		1520
	ShortName <ShrtNm>	[0..1]	Text		1520
	ClassificationType <ClssfctnTp>	[0..1]	±		1520
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1521

### Constraints

- **IdentificationGuideline**

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

#### 66.1.19.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.19.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.19.1.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.19.1.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "ClassificationType32Choice" on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1869
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1869

#### 66.1.19.1.5 RestrictedIndicator <RstrctdInd>

*Presence:* [0..1]

*Definition:* Indicates whether the security is a restricted security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.19.1.6 AlternateSecurity <AltrnScty>

*Presence:* [0..\*]

*Definition:* Alternative security offered in place of a restricted security.

*Impacted by:* C21 "IdentificationGuideline"

**AlternateSecurity <AltrnScty>** contains the following **FinancialInstrumentIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1519
	Name <Nm>	[0..1]	Text		1520
	ShortName <ShrtNm>	[0..1]	Text		1520
	ClassificationType <ClssfctnTp>	[0..1]	±		1520
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1521

#### Constraints

- **IdentificationGuideline**

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

#### 66.1.19.1.6.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.19.1.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.19.1.6.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.19.1.6.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "[ClassificationType32Choice](#)" on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1869
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1869

#### 66.1.19.1.6.5 AlternateSecurityType <AltrnSctyTp>

*Presence:* [0..1]

*Definition:* Type of security offered in place of a restricted security, for example, common.

**AlternateSecurityType <AltrnSctyTp>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.19.2 SecurityIdentification25Choice

*Definition:* Choice of formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.19.2.1 ISIN <ISIN>

*Presence:* [1..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 2829

#### 66.1.19.2.2 SEDOL <SEDOL>

*Presence:* [1..1]

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Datatype:* "SEDOLIdentifier" on page 2831

#### 66.1.19.2.3 CUSIP <CUSIP>

*Presence:* [1..1]

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

*Datatype:* "CUSIPIdentifier" on page 2826

#### **66.1.19.2.4 RIC <RIC>**

*Presence:* [1..1]

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

*Datatype:* "RICIdentifier" on page 2831

#### **66.1.19.2.5 TickerSymbol <TckrSymb>**

*Presence:* [1..1]

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

*Datatype:* "TickerIdentifier" on page 2833

#### **66.1.19.2.6 Bloomberg <Blmbrg>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Bloomberg organisation.

*Datatype:* "Bloomberg2Identifier" on page 2825

#### **66.1.19.2.7 CTA <CTA>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Datatype:* "ConsolidatedTapeAssociationIdentifier" on page 2826

#### **66.1.19.2.8 QUICK <QUICK>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Datatype:* "QUICKIdentifier" on page 2831

#### **66.1.19.2.9 Wertpapier <Wrtppr>**

*Presence:* [1..1]

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Datatype:* "WertpapierIdentifier" on page 2833

**66.1.19.2.10 Dutch <Dtch>***Presence:* [1..1]*Definition:* Identifier for Dutch securities.*Datatype:* "DutchIdentifier" on page 2826**66.1.19.2.11 Valoren <Vlrn>***Presence:* [1..1]*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.*Datatype:* "ValorenIdentifier" on page 2833**66.1.19.2.12 Sicovam <SCVM>***Presence:* [1..1]*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilieres in France. The Sicovam is composed of 5-digits.*Datatype:* "SicovamIdentifier" on page 2831**66.1.19.2.13 Belgian <Belgn>***Presence:* [1..1]*Definition:* Identifier for Belgian securities.*Datatype:* "BelgianIdentifier" on page 2824**66.1.19.2.14 Common <Cmon>***Presence:* [1..1]*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.*Datatype:* "EuroclearClearstreamIdentifier" on page 2827**66.1.19.2.15 OtherProprietaryIdentification <OthrPrtryld>***Presence:* [1..1]*Definition:* Proprietary identification of the security assigned by an institution or organisation.**OtherProprietaryIdentification <OthrPrtryld>** contains the following  
**AlternateSecurityIdentification7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

**66.1.19.2.15.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier of a security.*Datatype:* "Max35Text" on page 2837



**66.1.19.2.15.2 IdentificationSource <IdSrc>***Presence:* [1..1]*Definition:* Source of the identification, that is, domestic (national) or proprietary.

**IdentificationSource <IdSrc>** contains one of the following elements (see "IdentificationSource1Choice" on page 1573 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C12	1574
Or}	Proprietary <Prtry>	[1..1]	Text		1574

**66.1.19.3 OtherAsset2***Definition:* Identification of an asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1525
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526
	Identification <Id>	[1..1]	Text		1526
	Name <Nm>	[0..1]	Text		1526
	Description <Desc>	[0..1]	Text		1526
	OtherIdentification <OthrlId>	[0..5]	Text		1526
	AdditionalInformation <AddtlInf>	[0..*]	±		1527

**66.1.19.3.1 OtherAssetType <OthrAsstTp>***Presence:* [1..1]*Definition:* Type of asset.

**OtherAssetType <OthrAsstTp>** contains one of the following **OtherAsset2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1525
Or}	Proprietary <Prtry>	[1..1]	±		1526

**66.1.19.3.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Other asset type specified as a code.*Datatype:* "OtherAsset2Code" on page 2768

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

#### 66.1.19.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Other asset type specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.19.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Technical identification of the asset.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.19.3.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the asset.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.19.3.4 Description <Desc>

*Presence:* [0..1]

*Definition:* Description of the asset.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.19.3.5 OtherIdentification <Othrid>

*Presence:* [0..5]

*Definition:* Additional identification of the asset.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.19.3.6 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the other asset.**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.19.4 FinancialInstrumentIdentification2***Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1527
	Name <Nm>	[0..1]	Text		1528
	ShortName <ShrtNm>	[0..1]	Text		1528
	ClassificationType <ClssfctnTp>	[0..1]	±		1528

**Constraints**

- **IdentificationGuideline**

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

**66.1.19.4.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.19.4.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.19.4.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.19.4.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "ClassificationType32Choice" on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1869
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1869

### 66.1.19.5 CashAsset2

*Definition:* Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1529
{Or	Code <Cd>	[1..1]	CodeSet		1529
Or}	Proprietary <Prtry>	[1..1]	±		1529
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1530
	AdditionalInformation <AddtlInf>	[0..1]	±		1530

#### 66.1.19.5.1 CashAssetType <CshAsstTp>

*Presence:* [1..1]

*Definition:* Type of cash asset.

**CashAssetType <CshAsstTp>** contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1529
Or}	Proprietary <Prtry>	[1..1]	±		1529

##### 66.1.19.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a code.

*Datatype:* "CashAssetType1Code" on page 2717

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

##### 66.1.19.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.19.5.2 HoldingCurrency <HldgCcy>

*Presence:* [1..1]

*Definition:* Currency of the asset in the holding.

*Impacted by:* C1 "[ActiveCurrency](#)"

*Datatype:* "[ActiveCurrencyCode](#)" on page 2711

##### 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.

#### 66.1.19.5.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cash asset.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.19.6 CashAsset3

*Definition:* Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1531
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C1	1532
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C1	1532
	AdditionalInformation <AddtlInf>	[0..1]	±		1532

### Constraints

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

#### 66.1.19.6.1 CashAssetType <CshAsstTp>

*Presence:* [1..1]

*Definition:* Type of cash asset.

**CashAssetType <CshAsstTp>** contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1531
Or}	Proprietary <Prtry>	[1..1]	±		1531

##### 66.1.19.6.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a code.

*Datatype:* "CashAssetType1Code" on page 2717

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

##### 66.1.19.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.19.6.2 HoldingCurrency <HldgCcy>

*Presence:* [1..1]

*Definition:* Currency of the asset in the holding.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 66.1.19.6.3 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency of the asset in another currency.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 66.1.19.6.4 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cash asset.



**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

## 66.1.20 Financial Instrument Quantity

### 66.1.20.1 Quantity42Choice

*Definition:* Total quantity of securities to be transferred, expressed in a number of units or a percentage rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1533
Or}	TransferRate <TrfRate>	[1..1]	Rate		1533

#### 66.1.20.1.1 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [1..1]

*Definition:* Total quantity of securities to be transferred.

*Datatype:* "[DecimalNumber](#)" on page 2834

#### 66.1.20.1.2 TransferRate <TrfRate>

*Presence:* [1..1]

*Definition:* Quantity of securities to be transferred as a percentage of the holding.

*Datatype:* "[PercentageRate](#)" on page 2835

### 66.1.20.2 Unit12

*Definition:* Information about units to transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1534
	OrderDate <OrdDt>	[0..1]	Date		1534
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1534
	CertificateNumber <CertNb>	[0..*]	Text		1535
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1535
	Reference <Ref>	[0..1]	Text		1535
	PriceDetails <PricDtls>	[0..1]	±		1535
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C36	1536
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1536
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1536
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1537
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1537
	IndividualFee <IndvFee>	[0..*]	±	C6	1537
	IndividualTax <IndvTax>	[0..*]	±		1538
	OtherAmount <OthrAmt>	[0..*]			1539
	Type <Tp>	[1..1]			1539
{Or	Code <Cd>	[1..1]	CodeSet		1540
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1540
	Amount <Amt>	[1..1]	Amount	C1, C13	1540

#### 66.1.20.2.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Quantity of units.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.20.2.2 OrderDate <OrdDt>

*Presence:* [0..1]

*Definition:* Date the investor or its agent placed the original order.

*Datatype:* "ISODate" on page 2822

#### 66.1.20.2.3 AcquisitionDate <AcqstnDt>

*Presence:* [0..1]

*Definition:* Date the investor purchased the financial instrument.

*Datatype:* "ISODate" on page 2822

**66.1.20.2.4 CertificateNumber <CertNb>***Presence:* [0..\*]*Definition:* Certificate representing the security that is delivered.*Datatype:* "Max35Text" on page 2837**66.1.20.2.5 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.*Datatype:* "UKTaxGroupUnit1Code" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

**66.1.20.2.6 Reference <Ref>***Presence:* [0..1]*Definition:* Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.*Datatype:* "Max35Text" on page 2837**66.1.20.2.7 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Information related to the price. This may specify the price of original order confirmation.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice23" on page 2378 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2379
	Value <Val>	[1..1]	±		2379
	PriceMethod <PricMtd>	[0..1]	CodeSet		2379
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C2, C10	2379
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2380
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2380
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2380
{Or	Code <Cd>	[1..1]	CodeSet		2380
Or}	Proprietary <Prtry>	[1..1]	±		2381

**66.1.20.2.8 TransactionOverhead <TxOvrhd>***Presence:* [0..1]*Definition:* Fees and taxes. This may specify the fees and taxes related to the original order confirmation.*Impacted by:* C18 "NonStandardsSLAReferenceRule", C36 "TransactionOverheadElementRule"**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1536
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1536
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1537
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1537
	IndividualFee <IndvFee>	[0..*]	±	C6	1537
	IndividualTax <IndvTax>	[0..*]	±		1538

**Constraints**

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**66.1.20.2.8.1 TotalOverheadApplied <TtlOvrhdApld>***Presence:* [0..1]*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.20.2.8.2 TotalFees <TtlFees>***Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.20.2.8.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.20.2.8.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

#### **66.1.20.2.8.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1419
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421
	Basis <Bsis>	[0..1]			1421
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1422
	StandardRate <StdRate>	[0..1]	Rate		1422
	DiscountDetails <DscntDtls>	[0..1]		C18	1422
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424
	AppliedAmount <ApldAmt>	[0..1]	Amount	C1, C13	1425
	AppliedRate <ApldRate>	[0..1]	Rate		1425
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1425
	RecipientIdentification <RcptId>	[0..1]	±		1425
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1425

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 66.1.20.2.8.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2594
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2596
	AppliedRate <ApldRate>	[0..1]	Rate		2596
	Country <Ctry>	[0..1]	CodeSet	C12	2596
	RecipientIdentification <RcptId>	[0..1]	±		2597
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2597
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

#### 66.1.20.2.9 OtherAmount <OthrAmt>

*Presence:* [0..\*]

*Definition:* Amounts not covered in price, fee or tax.

**OtherAmount <OthrAmt>** contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1539
{Or	Code <Cd>	[1..1]	CodeSet		1540
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1540
	Amount <Amt>	[1..1]	Amount	C1, C13	1540

#### 66.1.20.2.9.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of amount.

**Type <Tp>** contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1540
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1540

**66.1.20.2.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "OtherAmountType1Code" on page 2768

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

**66.1.20.2.9.1.2 ProprietaryCode <PrtryCd>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**ProprietaryCode <PrtryCd>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.20.2.9.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.20.3 Unit11***Definition:* Information about units to transfer.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1541
	OrderDate <OrdDt>	[0..1]	Date		1541
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1541
	CertificateNumber <CertNb>	[0..*]	Text		1542
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1542
	Reference <Ref>	[0..1]	Text		1542
	PriceDetails <PricDtls>	[0..1]	±		1542
	TransactionOverhead <TxOvrhd>	[0..1]		C25, C40	1543
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545
	OtherAmount <OthrAmt>	[0..*]			1546
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

#### 66.1.20.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Quantity of units.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.20.3.2 OrderDate <OrdDt>

*Presence:* [0..1]

*Definition:* Date the investor or its agent placed the original order.

*Datatype:* "ISODate" on page 2822

#### 66.1.20.3.3 AcquisitionDate <AcqstnDt>

*Presence:* [0..1]

*Definition:* Date the investor purchased the financial instrument.

*Datatype:* "ISODate" on page 2822

**66.1.20.3.4 CertificateNumber <CertNb>***Presence:* [0..\*]*Definition:* Certificate representing the security that is delivered.*Datatype:* "Max35Text" on page 2837**66.1.20.3.5 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.*Datatype:* "UKTaxGroupUnit1Code" on page 2821

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

**66.1.20.3.6 Reference <Ref>***Presence:* [0..1]*Definition:* Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.*Datatype:* "Max35Text" on page 2837**66.1.20.3.7 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Information related to the price. This may specify the price of original order confirmation.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice23" on page 2378 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2379
	Value <Val>	[1..1]	±		2379
	PriceMethod <PricMtd>	[0..1]	CodeSet		2379
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C2, C10	2379
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2380
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2380
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2380
{Or	Code <Cd>	[1..1]	CodeSet		2380
Or}	Proprietary <Prtry>	[1..1]	±		2381

**66.1.20.3.8 TransactionOverhead <TxOvrhd>***Presence:* [0..1]*Definition:* Fees and taxes. This may specify the fees and taxes related to the original order confirmation.*Impacted by:* C25 "NonStandardSLAReferenceRule", C40 "TransactionOverheadElementRule"**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes41** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1543
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1543
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1544
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1544
	IndividualFee <IndvFee>	[0..*]	±	C6	1544
	IndividualTax <IndvTax>	[0..*]	±		1545

**Constraints**

- **NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**66.1.20.3.8.1 TotalOverheadApplied <TtlOvrhdApld>***Presence:* [0..1]*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.20.3.8.2 TotalFees <TtlFees>***Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.20.3.8.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.20.3.8.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2837

#### **66.1.20.3.8.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1419
{Or	Code <Cd>	[1..1]	CodeSet		1420
Or}	Proprietary <Prtry>	[1..1]	±		1421
	Basis <Bsis>	[0..1]			1421
{Or	Code <Cd>	[1..1]	CodeSet		1421
Or}	Proprietary <Prtry>	[1..1]	±		1422
	StandardAmount <StdAmt>	[0..1]	Amount	C1, C13	1422
	StandardRate <StdRate>	[0..1]	Rate		1422
	DiscountDetails <DscntDtls>	[0..1]		C18	1422
	Amount <Amt>	[0..1]	Amount	C1, C13	1423
	Rate <Rate>	[0..1]	Rate		1424
	Basis <Bsis>	[0..1]			1424
{Or	Code <Cd>	[1..1]	CodeSet		1424
Or}	Proprietary <Prtry>	[1..1]	±		1424
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C1, C13	1425
	AppliedRate <ApIdRate>	[0..1]	Rate		1425
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1425
	RecipientIdentification <RcptId>	[0..1]	±		1425
	InformativeIndicator <InfvInd>	[1..1]	Indicator		1425

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 66.1.20.3.8.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2593 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2594
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2596
	AppliedRate <ApldRate>	[0..1]	Rate		2596
	Country <Ctry>	[0..1]	CodeSet	C12	2596
	RecipientIdentification <RcptId>	[0..1]	±		2597
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2597
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

#### 66.1.20.3.9 OtherAmount <OthrAmt>

*Presence:* [0..\*]

*Definition:* Amount not covered in the price, fee or tax.

**OtherAmount <OthrAmt>** contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1546
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547
	Amount <Amt>	[1..1]	Amount	C1, C13	1547

#### 66.1.20.3.9.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of amount.

**Type <Tp>** contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1547
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1547

**66.1.20.3.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "OtherAmountType1Code" on page 2768

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

**66.1.20.3.9.1.2 ProprietaryCode <PrtryCd>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**ProprietaryCode <PrtryCd>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.20.3.9.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.21 Foreign Exchange****66.1.21.1 ForeignExchangeTerms19***Definition:* Provides information about the terms of the foreign exchange transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

#### 66.1.21.1.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 66.1.21.1.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 66.1.21.1.3 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects the price at which one currency was bought with another currency.

*Usage:* ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

*Datatype:* "BaseOneRate" on page 2835



### 66.1.21.2 ForeignExchangeTerms33

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1549
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1549
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1550
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1550
	ExchangeRate <XchgRate>	[1..1]	Rate		1550
	QuotationDate <QtnDt>	[0..1]	DateTime		1551
	QuotingInstitution <QtgInstn>	[0..1]	±		1551

#### 66.1.21.2.1 ToAmount <ToAmt>

*Presence:* [0..1]

*Definition:* Cash amount resulting from a foreign exchange trade.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.21.2.2 FromAmount <FrAmt>

*Presence:* [0..1]

*Definition:* Cash amount for which a foreign exchange is required.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.21.2.3 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 66.1.21.2.4 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 66.1.21.2.5 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2}$ ,

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

Datatype: "BaseOneRate" on page 2835

#### 66.1.21.2.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: "ISODateTime" on page 2822

#### 66.1.21.2.7 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes the foreign exchange rate.

**QuotingInstitution <QtgInstn>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

### 66.1.21.3 ForeignExchangeTerms6

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1551
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1552
	ExchangeRate <XchgRate>	[1..1]	Rate		1552
	QuotationDate <QtnDt>	[0..1]	DateTime		1552
	QuotingInstitution <QtgInstn>	[0..1]	±		1552

#### 66.1.21.3.1 UnitCurrency <UnitCcy>

Presence: [1..1]

Definition: Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

Impacted by: C2 "ActiveOrHistoricCurrency"

Datatype: "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.21.3.2 QuotedCurrency <QtdCcy>**

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.21.3.3 ExchangeRate <XchgRate>**

*Presence:* [1..1]

*Definition:* The value of one currency expressed in relation to another currency. ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

*Datatype:* "BaseOneRate" on page 2835

**66.1.21.3.4 QuotationDate <QtnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* "ISODatetime" on page 2822

**66.1.21.3.5 QuotingInstitution <QtglInstn>**

*Presence:* [0..1]

*Definition:* Party that proposes a foreign exchange rate.

**QuotingInstitution <QtglInstn>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.21.4 ForeignExchangeTerms32

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1553
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1553
	ExchangeRate <XchgRate>	[1..1]	Rate		1553
	QuotationDate <QtnDt>	[0..1]	DateTime		1554
	QuotingInstitution <QtgInstn>	[0..1]	±		1554

##### 66.1.21.4.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

##### 66.1.21.4.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

##### 66.1.21.4.3 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2},$$

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$$1 \times \langle \text{UnitCcy} \rangle = \langle \text{XchgRate} \rangle \times \langle \text{QtdCcy} \rangle.$$

*Datatype:* "BaseOneRate" on page 2835

#### 66.1.21.4.4 QuotationDate <QtnDt>

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* "ISODatetime" on page 2822

#### 66.1.21.4.5 QuotingInstitution <QtgInstn>

*Presence:* [0..1]

*Definition:* Party that proposes a foreign exchange rate.

**QuotingInstitution <QtgInstn>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.21.5 ForeignExchangeTerms37

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

**66.1.21.5.1 ToAmount <ToAmt>**

*Presence:* [0..1]

*Definition:* Cash amount resulting from a foreign exchange trade.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.21.5.2 FromAmount <FrAmt>**

*Presence:* [0..1]

*Definition:* Cash amount for which a foreign exchange is required.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.21.5.3 UnitCurrency <UnitCcy>**

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.21.5.4 QuotedCurrency <QtdCcy>**

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.21.5.5 ExchangeRate <XchgRate>**

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2}$ ,

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Datatype:* "BaseOneRate" on page 2835

**66.1.21.5.6 QuotationDate <QtnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* "ISODatetime" on page 2822

**66.1.21.5.7 QuotingInstitution <QtglInstn>**

*Presence:* [0..1]



*Definition:* Party that proposes the foreign exchange rate.

**QuotingInstitution <QtglInstn>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

## 66.1.22 Frequency

### 66.1.22.1 StatementFrequencyReason2Choice

*Definition:* Choice of formats for the specification of the statement frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1557
Or}	Proprietary <Prtry>	[1..1]	±		1558

#### 66.1.22.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Statement frequency expressed as a code.

*Datatype:* "EventFrequency9Code" on page 2735

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

**66.1.22.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Statement frequency expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.22.2 Frequency20Choice***Definition:* Choice of formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1558
Or}	Proprietary <Prtry>	[1..1]	±		1559

**66.1.22.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Frequency expressed as a code.*Datatype:* "[EventFrequency8Code](#)" on page 2734

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.

CodeName	Name	Definition
SEMI	SemiAnnual	Event takes place every six months or two times a year.
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

#### 66.1.22.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

## 66.1.23 Identification Information

### 66.1.23.1 AdditionalReference3

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 66.1.23.1.1 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 2837

#### 66.1.23.1.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.23.1.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.2 AdditionalReference2

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1560
	ReferenceIssuer <RefIssr>	[0..1]	±		1560
	MessageName <MsgNm>	[0..1]	Text		1561

##### 66.1.23.2.1 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 2837

##### 66.1.23.2.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see "PartyIdentification1Choice" on page 1960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1961
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1961
Or}	NameAndAddress <NmAndAdr>	[1..1]			1961
	Name <Nm>	[1..1]	Text		1962
	Address <Adr>	[0..1]	±		1962

#### 66.1.23.2.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.3 GenericIdentification7

*Definition:* Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1561
	Information <Inf>	[1..1]	Text		1561

##### 66.1.23.3.1 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max8Text" on page 2838

##### 66.1.23.3.2 Information <Inf>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.4 GenericIdentification27

*Definition:* Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562

**66.1.23.4.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification assigned by an institution.*Datatype:* "Max4AlphaNumericText" on page 2838**66.1.23.4.2 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Name of the identification scheme.*Datatype:* "Max4AlphaNumericText" on page 2838**66.1.23.4.3 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max4AlphaNumericText" on page 2838**66.1.23.5 GenericIdentification47***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		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.23.5.1 Identification <Id>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 2835**66.1.23.5.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max4AlphaNumericText" on page 2838**66.1.23.5.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max4AlphaNumericText" on page 2838**66.1.23.6 IdentificationSource5Choice***Definition:* Choice between source of identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	1563
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1563

#### 66.1.23.6.1 DomesticIdentificationSource <DmstldSrc>

*Presence:* [1..1]

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.23.6.2 ProprietaryIdentificationSource <PrtryldSrc>

*Presence:* [1..1]

*Definition:* Entity that issues the proprietary identification.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.7 GenericIdentification82

*Definition:* Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

#### 66.1.23.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity.

*Datatype:* "Max35Text" on page 2837

**66.1.23.7.2 Type <Tp>***Presence:* [1..1]*Definition:* Type of identification.**Type <Tp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565

**66.1.23.7.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of identification expressed as a code.*Datatype:* "PartyIdentificationType7Code" on page 2770

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
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.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.



CodeName	Name	Definition
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 66.1.23.7.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.23.7.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.23.7.4 IssueDate <IssDt>

*Presence:* [0..1]

*Definition:* Date at which the identification was issued.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.23.7.5 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date at which the identification expires.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.23.7.6 State <Stat>

*Presence:* [0..1]

*Definition:* Name of the state, county or country sub-division that issued the identification document.

*Datatype:* "[Max70Text](#)" on page 2838

#### 66.1.23.7.7 IssuerCountry <IssrCtry>

*Presence:* [0..1]

*Definition:* Country that issued the identification document.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

### 66.1.23.8 GenericIdentification81

*Definition:* Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1566
	IdentificationType <IdTp>	[1..1]			1566
{Or	Code <Cd>	[1..1]	CodeSet		1566
Or}	Proprietary <Prtry>	[1..1]	±		1567

#### 66.1.23.8.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party, such as a tax or social security identifier.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.8.2 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Type of identification.

**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1566
Or}	Proprietary <Prtry>	[1..1]	±		1567

#### 66.1.23.8.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "PartyIdentificationType7Code" on page 2770

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).

CodeName	Name	Definition
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.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 66.1.23.8.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.23.9 AdditionalReference10

*Definition:* Reference and reference issuer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 66.1.23.9.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference issued by a party to identify an instruction, transaction or a message.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.23.9.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.23.9.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "[Max35Text](#)" on page 2837

### 66.1.23.10 AdditionalReference13

*Definition:* Reference to a related message or transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1569
	ReferenceIssuer <RefIssr>	[0..1]	±		1569
	MessageName <MsgNm>	[0..1]	Text		1569

#### 66.1.23.10.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Message identification of a message. This reference was assigned by the party issuing the message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.10.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.23.10.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.11 IdentificationType42Choice

*Definition:* Choice between a code and a data source scheme to specify the type of alternate identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1569
Or}	Proprietary <Prtry>	[1..1]	±		1570

#### 66.1.23.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a code.

*Datatype:* "TypeOfIdentification1Code" on page 2816

CodeName	Name	Definition
ARNU	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
CCPT	PassportNumber	Number assigned by a passport authority.
CHTY	TaxExemptIdentificationNumber	Number assigned to a tax exempt entity.
CORP	CorporateIdentification	Number assigned to a corporate entity.
DRLC	DriverLicenseNumber	Number assigned to a driver's license.
FIIN	ForeignInvestmentIdentityNumber	Number assigned to a foreign investor (other than the alien number).
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

### 66.1.23.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a data source scheme.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

### 66.1.23.12 GenericIdentification3

*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		1570
	Issuer <Issr>	[0..1]	Text		1570

#### 66.1.23.12.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.23.12.2 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

Datatype: "Max35Text" on page 2837

### 66.1.23.13 MessageIdentification1

*Definition:* Identifies a message by a unique identifier and the date and time when the message was created by the sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1571
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1571

#### 66.1.23.13.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the message.

Datatype: "Max35Text" on page 2837

#### 66.1.23.13.2 CreationDateTime <CreDtTm>

*Presence:* [1..1]

*Definition:* Date of creation of the message.

Datatype: "ISODateTime" on page 2822

### 66.1.23.14 AdditionalReference8

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	Referencelssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 66.1.23.14.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference issued by a party to identify an instruction, transaction or a message.

Datatype: "Max35Text" on page 2837

#### 66.1.23.14.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.23.14.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.15 GenericIdentification5

*Definition:* Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1572
	Information <Inf>	[1..1]	Text		1572
	Narrative <Nrrtv>	[0..1]	Text		1572

##### 66.1.23.15.1 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max8Text" on page 2838

##### 66.1.23.15.2 Information <Inf>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 2835

##### 66.1.23.15.3 Narrative <Nrrtv>

*Presence:* [0..1]

*Definition:* Additional information.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.16 GenericIdentification36

*Definition:* Identification using a proprietary scheme.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.23.16.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.16.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.16.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.17 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		1573
Or}	Proprietary <Prtry>	[1..1]	Text		1573

#### 66.1.23.17.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 2736

#### 66.1.23.17.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.18 IdentificationSource1Choice

*Definition:* Choice of proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C12	1574
Or}	Proprietary <Prtry>	[1..1]	Text		1574

#### 66.1.23.18.1 Domestic <Dmst>

*Presence:* [1..1]

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.23.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Entity that issues the proprietary identification.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.19 References64Choice

*Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1574
Or}	OtherReference <OthrRef>	[1..2]	±		1575

#### 66.1.23.19.1 RelatedReference <RltdRef>

*Presence:* [1..2]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.23.19.2 OtherReference <OthrRef>***Presence:* [1..2]*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.**OtherReference <OthrRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.23.20 GenericIdentification1***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		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.23.20.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification assigned by an institution.*Datatype:* "[Max35Text](#)" on page 2837**66.1.23.20.2 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Name of the identification scheme.*Datatype:* "[Max35Text](#)" on page 2837**66.1.23.20.3 Issuer <Issr>***Presence:* [0..1]*Definition:* Entity that assigns the identification.*Datatype:* "[Max35Text](#)" on page 2837**66.1.23.21 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		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

#### 66.1.23.21.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 2835

#### 66.1.23.21.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.21.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.22 GenericIdentification6

*Definition:* Balance expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1576
	Information <Inf>	[1..1]	Text		1576
	Balance <Bal>	[1..1]	Quantity		1577

#### 66.1.23.22.1 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max8Text" on page 2838

#### 66.1.23.22.2 Information <Inf>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 2835

**66.1.23.22.3 Balance <Bal>***Presence:* [1..1]*Definition:* Value of the balance.*Datatype:* "Number" on page 2834**66.1.23.23 References61Choice***Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1577
Or}	OtherReference <OthrRef>	[1..2]	±		1577

**66.1.23.23.1 RelatedReference <RltdRef>***Presence:* [1..2]*Definition:* Reference to a linked message that was previously received.**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

**66.1.23.23.2 OtherReference <OthrRef>***Presence:* [1..2]*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.**OtherReference <OthrRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

**66.1.23.24 AdditionalReference11***Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	Referencelssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

#### 66.1.23.24.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference identifying a set of messages.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.24.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.23.24.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2837

#### 66.1.23.25 GenericIdentification78

*Definition:* Identification expressed as a proprietary type and narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1578
	Identification <Id>	[0..1]	Text		1579

#### 66.1.23.25.1 Type <Tp>

*Presence:* [1..1]

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

**Type <Tp>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

#### 66.1.23.25.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.23.26 AdditionalReference9

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1579
	ReferenceIssuer <RefIssr>	[0..1]	±		1579
	MessageName <MsgNm>	[0..1]	Text		1579

##### 66.1.23.26.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference identifying a set of messages.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.23.26.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

##### 66.1.23.26.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2837

### 66.1.23.27 References62Choice

*Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		1580
Or}	OtherReference <OthrRef>	[1..2]	±		1580

#### 66.1.23.27.1 PreviousReference <PrvsRef>

*Presence:* [1..2]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

#### 66.1.23.27.2 OtherReference <OthrRef>

*Presence:* [1..2]

*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.

**OtherReference <OthrRef>** contains the following elements (see "AdditionalReference8" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1571
	ReferenceIssuer <RefIssr>	[0..1]	±		1571
	MessageName <MsgNm>	[0..1]	Text		1572

### 66.1.23.28 SimpleIdentificationInformation

*Definition:* Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1581



**66.1.23.28.1 Identification <Id>***Presence:* [1..1]*Definition:* Name or number assigned by an entity to enable recognition of that entity, eg, account identifier.*Datatype:* "Max35Text" on page 2837**66.1.24 Investment Account****66.1.24.1 AccountUsageType2Choice***Definition:* Choice of formats for the specification of the type of account usage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1581
Or}	Proprietary <Prtry>	[1..1]	±		1581

**66.1.24.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of account usage expressed as a code.*Datatype:* "AccountUsageType2Code" on page 2711

CodeName	Name	Definition
INVE	Investor	Investor.
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

**66.1.24.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of account usage expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.24.2 InvestmentAccountType1Choice***Definition:* Choice of formats for the specification of the investment account type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

#### 66.1.24.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Investment account type expressed as a code.

*Datatype:* "FundCashAccount2Code" on page 2738

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

#### 66.1.24.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investment account type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.24.3 InvestmentAccount74

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1584
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	1584
	BlockedStatus <BlckdSts>	[0..1]	±		1586
	StatusDate <StsDt>	[0..1]	±		1586
	Name <Nm>	[0..1]	Text		1587
	Designation <Dsgnt>	[0..1]	Text		1587
	Type <Tp>	[0..1]	±		1587
	OwnershipType <OwnrshTp>	[0..1]	±		1587
	TaxExemption <TaxXmptn>	[0..1]	±		1588
	StatementFrequency <StmtFrqcy>	[0..1]	±		1588
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1588
	Language <Lang>	[0..1]	CodeSet	C34	1588
	IncomePreference <IncmPref>	[0..1]	CodeSet		1589
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1589
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1589
	TaxReporting <TaxRptg>	[0..*]	±		1590
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1591
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1592
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1592
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1592
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1592
	RoundingDetails <RndgDtls>	[0..1]	±		1593
	AccountServicer <AcctSvcr>	[0..1]	±		1594
	AccountUsageType <AcctUsgrTp>	[0..1]	±		1594
	ForeignStatusCertification <FrgrStsCertfctn>	[0..1]	CodeSet		1594
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1594
	TransactionChannelType <TxChanITp>	[0..1]	±		1595
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1595
	Pledging <Pldgg>	[0..1]	CodeSet		1595

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Collateral <Coll>	[0..1]	CodeSet		1595
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1596
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1596
	AccountingStatus <AcctgSts>	[0..1]	±		1596
	OpeningDate <OpngDt>	[0..1]	±		1597
	ClosingDate <ClsgDt>	[0..1]	±		1597
	NegativeIndicator <NegInd>	[0..1]	Indicator		1597
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1597
	Liability <Lbilty>	[0..1]	±		1597
	InvestorProfile <InvstrPrfl>	[0..*]	±		1598
	FiscalYear <FscYr>	[0..1]	±		1599

### Constraints

- FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition

/IncomePreference is equal to value 'Cash'

Following Must be True

/ReinvestmentDetails[\*] Must be absent

- ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

#### 66.1.24.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.3.2 AccountStatus <AcctSts>

*Presence:* [0..1]

*Definition:* Status of the account.

*Impacted by:* C6 "ClosedStatus1Rule", C7 "ClosedStatus2Rule", C8 "ClosedStatus3Rule", C9 "ClosedStatus4Rule", C10 "ClosedStatus5Rule", C11 "ClosedStatus6Rule", C14 "EnabledDisabledStatus1Rule", C15 "EnabledDisabledStatus2Rule", C32 "StatusElementRule"

**AccountStatus <AcctSts>** contains the following elements (see "AccountStatus2" on page 2502 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2504
	Disabled <Dsbl>	[0..1]	±		2504
	Pending <Pdg>	[0..1]	±		2505
	PendingOpening <PdgOpng>	[0..1]	±		2505
	Proforma <Profrm>	[0..1]	±		2505
	Closed <Clsd>	[0..1]	±		2506
	ClosurePending <ClsrPdg>	[0..1]	±		2506
	Other <Othr>	[0..*]	±		2507

#### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Enabled Must be absent
```

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```

- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

On Condition  
     /Closed is absent  
 Following Must be True  
     /ClosurePending Must be absent

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

On Condition  
     /Enabled is present  
 Following Must be True  
     /Disabled Must be absent

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

On Condition  
     /Disabled is present  
 Following Must be True  
     /Enabled Must be absent

- **StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

#### 66.1.24.3.3 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see ["BlockedStatusReason2Choice"](#) on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2472
Or}	Reason <Rsn>	[1..*]			2473
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

#### 66.1.24.3.4 StatusDate <StsDt>

*Presence:* [0..1]

*Definition:* Date the status is assigned.

**StatusDate <StsDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

#### 66.1.24.3.5 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.24.3.6 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.24.3.7 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see ["AccountType2Choice"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.24.3.8 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Ownership status of the account, for example, joint owners.

**OwnershipType <OwnrshTp>** contains one of the following elements (see ["OwnershipType2Choice"](#) on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

**66.1.24.3.9 TaxExemption <TaxXmptn>***Presence:* [0..1]*Definition:* Tax advantage specific to the account.**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2598 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

**66.1.24.3.10 StatementFrequency <StmntFrqcy>***Presence:* [0..1]*Definition:* Frequency at which a statement is issued.**StatementFrequency <StmntFrqcy>** contains one of the following elements (see "[StatementFrequencyReason2Choice](#)" on page 1557 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1557
Or}	Proprietary <Prtry>	[1..1]	±		1558

**66.1.24.3.11 ReferenceCurrency <RefCcy>***Presence:* [0..1]*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.*Impacted by:* [C1 "ActiveCurrency"](#)*Datatype:* "[ActiveCurrencyCode](#)" on page 2711**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.

**66.1.24.3.12 Language <Lang>***Presence:* [0..1]*Definition:* Language for all communication concerning the account.*Impacted by:* [C34 "ValidationByTable"](#)*Datatype:* "[LanguageCode](#)" on page 2762



**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**66.1.24.3.13 IncomePreference <IncMPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**66.1.24.3.14 ReinvestmentDetails <RinvstmtDtls>**

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails <RinvstmtDtls>** contains the following elements (see "Reinvestment4" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1653
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C1	1654
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1655

**66.1.24.3.15 TaxWithholdingMethod <TaxWhldgMtd>**

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2810

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.

CodeName	Name	Definition
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 66.1.24.3.16 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.24.3.17 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1877
	Amount <Amt>	[0..1]	Amount	C1	1877
	StartDate <StartDt>	[0..1]	Date		1877
	EndDate <EndDt>	[0..1]	Date		1877

#### 66.1.24.3.18 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.3.19 RequiredSignatoriesNumber <ReqrdSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2834

#### 66.1.24.3.20 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2837

#### 66.1.24.3.21 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.24.3.22 RoundingDetails <RndgDtls>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.

**RoundingDetails <RndgDtls>** contains the following elements (see "[RoundingParameters1](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1306
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1306

#### 66.1.24.3.23 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.24.3.24 AccountUsageType <AcctUsgTp>

*Presence:* [0..1]

*Definition:* Specifies the type of usage of the account.

**AccountUsageType <AcctUsgTp>** contains one of the following elements (see "[AccountUsageType2Choice](#)" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1581
Or}	Proprietary <Prtry>	[1..1]	±		1581

#### 66.1.24.3.25 ForeignStatusCertification <FrgnStsCertfctn>

*Presence:* [0..1]

*Definition:* Specifies if documentary evidence has been provided for the foreign resident.

*Datatype:* "[Provided1Code](#)" on page 2779

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

#### 66.1.24.3.26 AccountSignatureDateTime <AcctSgntrDtTm>

*Presence:* [0..1]

*Definition:* Date the investor or account owner signs the open account form.

**AccountSignatureDate** <AcctSgntrDtTm> contains one of the following elements (see "DateAndDateTime1Choice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

#### 66.1.24.3.27 TransactionChannelType <TxChanITp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType** <TxChanITp> contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 66.1.24.3.28 InvestmentAccountCategory <InvstmtAcctCtgy>

*Presence:* [0..1]

*Definition:* Specifies the category of the account.

**InvestmentAccountCategory** <InvstmtAcctCtgy> contains one of the following elements (see "InvestmentAccountCategory1Choice" on page 1622 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1622
Or}	Proprietary <Prtry>	[1..1]	±		1623

#### 66.1.24.3.29 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2731

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 66.1.24.3.30 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2720

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 66.1.24.3.31 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see ["ThirdPartyRights2"](#) on page 1627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1627
	DateTime <DtTm>	[0..1]	DateTime		1627
	Holder <Hldr>	[0..1]	±		1627
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1628
	Amount <Amt>	[0..1]	Amount	C1, C13	1628
	Description <Desc>	[0..1]	Text		1628

#### 66.1.24.3.32 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>

*Presence:* [0..1]

*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>** contains one of the following elements (see ["LevelOfControl1Choice"](#) on page 1884 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

#### 66.1.24.3.33 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see ["AccountingStatus1Choice"](#) on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514



**66.1.24.3.34 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.3.35 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.3.36 NegativeIndicator <NegInd>***Presence:* [0..1]*Definition:* Indicates whether the account can hold a negative position in a security.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.3.37 ProcessingOrder <PrcgOrdr>***Presence:* [0..1]*Definition:* Order in which securities are moved from the account.*Datatype:* ["PositionEffect3Code"](#) on page 2777

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**66.1.24.3.38 Liability <Lbly>***Presence:* [0..1]

*Definition:* Specifies whether the investor assumes responsibility for the liability.

**Liability <Lbly>** contains one of the following elements (see "Liability1Choice" on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1923
Or}	Proprietary <Prtry>	[1..1]	±		1923

#### 66.1.24.3.39 InvestorProfile <InvstrPrfl>

*Presence:* [0..\*]

*Definition:* Information used to determine fees and types of operations that can be carried out on the account.

**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	Status <Sts>	[0..1]			1901
{Or	Code <Cd>	[1..1]	CodeSet		1901
Or}	Proprietary <Prtry>	[1..1]	±		1901
	Treasury <Trsr>	[0..1]			1902
	Date <Dt>	[1..1]	Date		1902
	TraderType <TradrTp>	[1..1]			1902
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903
	Rate <Rate>	[1..1]	Rate		1903
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1903
	Date <Dt>	[0..1]	Date		1903
	SettlementFrequency <SttlmFrqcy>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904
	ConsolidationType <CnsltdtnTp>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905
	MarketMaker <MktMakr>	[0..1]			1905
	ContractPeriod <CtrctPrd>	[0..1]	±		1905
	Compliance <Cmplc>	[0..1]	Indicator		1906
	MaximumSpread <MaxSprd>	[0..1]	Rate		1906
	Discount <Dscnt>	[0..1]	Rate		1906

#### 66.1.24.3.40 FiscalYear <FscIYr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "FiscalYear1Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1444
Or}	EndDate <EndDt>	[1..1]	Date		1444

#### 66.1.24.4 InvestmentAccountOwnershipInformation17

*Definition:* Characteristics of the ownership of an investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <OthrId>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWith>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.24.4.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Information about the organisation or individual person.

**Party <Pty>** contains one of the following **Party48Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603

##### 66.1.24.4.1.1 Organisation <Org>

*Presence:* [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

*Impacted by:* C20 "OrganisationElementRule"

**Organisation <Org>** contains the following elements (see "Organisation40" on page 1955 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1955
	ShortName <ShrtNm>	[0..1]	Text		1956
	Identification <Id>	[0..1]			1956
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1956
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1956
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1957
	Purpose <Purp>	[0..1]	Text		1957
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1957
	RegistrationDate <RegnDt>	[0..1]	Date		1957
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			1957
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1958
	PostalAddress <PstlAdr>	[1..1]	±	C23	1958
	TypeOfOrganisation <TpOfOrg>	[0..1]			1959
{Or	Code <Cd>	[1..1]	CodeSet		1960
Or}	Proprietary <Prtry>	[1..1]	±		1960
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1960

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 66.1.24.4.1.2 IndividualPerson <IndvPrsn>

*Presence:* [1..1]

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

**IndividualPerson <IndvPrsn>** contains the following elements (see "IndividualPerson38" on page 2304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2306
{Or	Code <Cd>	[1..1]	CodeSet		2306
Or}	Proprietary <Prtry>	[1..1]	±		2307
	GivenName <GvnNm>	[0..1]	Text		2307
	MiddleName <MddlNm>	[0..1]	Text		2307
	Name <Nm>	[1..1]	Text		2307
	NameSuffix <NmSfx>	[0..1]	Text		2307
	Gender <Gndr>	[0..1]	CodeSet		2307
	BirthDate <BirthDt>	[0..1]	Date		2308
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C12	2308
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2308
	CityOfBirth <CityOfBirth>	[0..1]	Text		2308
	Profession <Prfssn>	[0..1]	Text		2308
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2308
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2309
	PostalAddress <PstlAdr>	[1..1]	±	C23	2309
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2310
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2311
	Citizenship <Ctzsh>	[1..1]			2311
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2311
	MinorIndicator <MnrInd>	[1..1]	Indicator		2311
	EmployingCompany <EmplngCpny>	[0..1]	Text		2312
	BusinessFunction <BizFctn>	[0..1]	Text		2312
	PoliticallyExposedPerson <PltclYXpsdPrsn>	[0..1]		C29	2312
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2312
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2313
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2313
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2314



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeathDate <DthDt>	[0..1]	Date		2314
	CivilStatus <Cv/Sts>	[0..1]			2315
{Or	Code <Cd>	[1..1]	CodeSet		2315
Or}	Proprietary <Prtry>	[1..1]	±		2315
	EducationLevel <EdctnLvl>	[0..1]	Text		2315
	FamilyInformation <FmlyInf>	[0..1]			2316
	NameOfFather <NmOfFthr>	[0..1]	Text		2316
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2316
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2316
	GDPRData <GDPRData>	[0..*]			2316
	ConsentType <CnsntTp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2317
Or}	Proprietary <Prtry>	[1..1]	±		2317
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2317
	ConsentDate <CnsntDt>	[1..1]	Date		2318

#### 66.1.24.4.2 MoneyLaunderingCheck <MnyLndrgChck>

*Presence:* [0..1]

*Definition:* Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

**MoneyLaunderingCheck <MnyLndrgChck>** contains one of the following elements (see "MoneyLaunderingCheck1Choice" on page 1990 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1991
Or}	Proprietary <Prtry>	[1..1]	±		1991

#### 66.1.24.4.3 ModifiedInvestorProfileValidation <ModfdInvstrPrfIVldtn>

*Presence:* [0..\*]

*Definition:* Information related to the party profile to be inserted or deleted.

**ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>** contains the following **ModificationScope27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLv>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610

#### 66.1.24.4.3.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification2Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.24.4.3.2 InvestorProfileValidation <InvstrPrflVldtn>

*Presence:* [1..1]

*Definition:* Detailed information about the party profile information.

**InvestorProfileValidation <InvstrPrfIVldtn>** contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLv/>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610

#### 66.1.24.4.3.2.1 CertificationIndicator <CertfctnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the certificate type has been obtained and verified.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.24.4.3.2.2 ValidatingParty <VldtngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who validated the document.

*Datatype:* "Max140Text" on page 2836

#### 66.1.24.4.3.2.3 CheckingParty <ChckngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who checked the document.

*Datatype:* "Max140Text" on page 2836

**66.1.24.4.3.2.4 ResponsibleParty <RspnsblPty>***Presence:* [0..1]*Definition:* Identification of the person who is responsible for the document.*Datatype:* "Max140Text" on page 2836**66.1.24.4.3.2.5 CertificateType <CertTp>***Presence:* [0..1]*Definition:* Type of certificate.**CertificateType <CertTp>** contains one of the following elements (see "CertificationType1Choice" on page 2092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2092
Or}	Proprietary <Prtry>	[1..1]	±		2093

**66.1.24.4.3.2.6 CheckingDate <ChckngDt>***Presence:* [0..1]*Definition:* Date at which the certification check has been performed.*Datatype:* "ISODate" on page 2822**66.1.24.4.3.2.7 CheckingFrequency <ChckngFrqcy>***Presence:* [0..1]*Definition:* Specifies how frequently the check is performed.*Datatype:* "EventFrequency1Code" on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

**66.1.24.4.3.2.8 NextRevisionDate <NxtRvsnDt>***Presence:* [0..1]*Definition:* Specifies the date at which the next certification check will be performed.*Datatype:* "ISODate" on page 2822**66.1.24.4.3.2.9 SalaryRange <SlryRg>***Presence:* [0..1]*Definition:* Limits between which a person's salary is estimated.*Datatype:* "Max35Text" on page 2837**66.1.24.4.3.2.10 SourceOfWealth <SrcOfWlth>***Presence:* [0..1]*Definition:* Indicates the main source of revenue.*Datatype:* "Max140Text" on page 2836**66.1.24.4.3.2.11 CustomerConductClassification <CstmrCndctClssfctn>***Presence:* [0..1]*Definition:* Specifies an assessment of the customer's behaviour at the time of the account opening application.**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

**66.1.24.4.3.2.12 RiskLevel <RskLvl>***Presence:* [0..1]*Definition:* Specifies the customer's money laundering risk.**RiskLevel <RskLvl>** contains one of the following elements (see "RiskLevel2Choice" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2074
Or}	Proprietary <Prtry>	[1..1]	±		2075

**66.1.24.4.3.2.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>***Presence:* [0..1]

*Definition:* Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

**KnowYourCustomerCheckType <KnowYourCstmrChckTp>** contains one of the following elements (see "KYCCheckType1Choice" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2117
Or}	Proprietary <Prtry>	[1..1]	±		2117

#### 66.1.24.4.3.2.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

*Presence:* [0..1]

*Definition:* Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

**KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>** contains the following elements (see "DataBaseCheck1" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2084
	Identification <Id>	[1..1]	Text		2084

#### 66.1.24.4.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

*Presence:* [0..1]

*Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

*Impacted by:* C25 "OwnershipBeneficiaryRateRule"

**OwnershipBeneficiaryRate <OwnrshBnfcryRate>** contains the following elements (see "OwnershipBeneficiaryRate1" on page 2091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2091
	Fraction <Frctn>	[0..1]	Text		2091

#### Constraints

- **OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

#### 66.1.24.4.5 ClientIdentification <CIntld>

*Presence:* [0..1]

*Definition:* Unique identification, as assigned by an organisation, to unambiguously identify a party.

*Datatype:* "Max35Text" on page 2837

**66.1.24.4.6 FiscalExemption <FscIXmptn>***Presence:* [0..1]*Definition:* Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.4.7 SignatoryRightIndicator <SgntryRghtInd>***Presence:* [0..1]*Definition:* Indicates whether the signature of the account owner is required to authorise transactions on the account.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.4.8 MiFIDClassification <MiFIDClssfctn>***Presence:* [0..1]*Definition:* Details about the MiFID classification of the account owner.**MiFIDClassification <MiFIDClssfctn>** contains the following elements (see ["MiFIDClassification1"](#) on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1868
	Narrative <Nrtrv>	[0..1]	Text		1868

**66.1.24.4.9 Notification <Ntfctn>***Presence:* [0..\*]*Definition:* Type of information that must be provided to the account holder.**Notification <Ntfctn>** contains the following elements (see ["Notification2"](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1878
	Required <Reqrd>	[1..1]	Indicator		1878
	DistributionType <DstrbtnTp>	[0..1]	±		1878

**66.1.24.4.10 FATCAFormType <FATCAFormTp>***Presence:* [0..\*]*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

**FATCAFormType <FATCAFormTp>** contains one of the following elements (see "FATCAForm1Choice" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1884
Or}	Proprietary <Prtry>	[1..1]	±		1884

#### 66.1.24.4.11 FATCAStatus <FATCASts>

*Presence:* [0..\*]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

**FATCAStatus <FATCASts>** contains the following elements (see "FATCAStatus2" on page 2028 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2028
{Or	Code <Cd>	[1..1]	CodeSet		2028
Or}	Proprietary <Prtry>	[1..1]	±		2029
	Source <Src>	[0..1]			2029
{Or	Code <Cd>	[1..1]	CodeSet		2030
Or}	Proprietary <Prtry>	[1..1]	±		2030

#### 66.1.24.4.12 FATCAReportingDate <FATCARptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2822

#### 66.1.24.4.13 CRSFormType <CRSFormTp>

*Presence:* [0..\*]

*Definition:* Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

**CRSFormType <CRSFormTp>** contains one of the following elements (see "CRSForm1Choice" on page 2107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2108
Or}	Proprietary <Prtry>	[1..1]	±		2108

#### 66.1.24.4.14 CRSStatus <CRSSts>

*Presence:* [0..\*]



*Definition:* Common Reporting Standard (CRS) status of the investor or account owner.

**CRSStatus <CRSSts>** contains the following elements (see "[CRSStatus4](#)" on page 2109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2109
{Or	Code <Cd>	[1..1]	CodeSet		2110
Or}	Proprietary <Prtry>	[1..1]	±		2111
	Source <Src>	[0..1]			2111
{Or	Code <Cd>	[1..1]	CodeSet		2111
Or}	Proprietary <Prtry>	[1..1]	±		2112
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C12	2112

#### 66.1.24.4.15 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.24.4.16 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following elements (see "[GenericIdentification82](#)" on page 1563 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

**66.1.24.4.17 TaxExemption <TaxXmptn>***Presence:* [0..1]*Definition:* Tax advantage specific to the account party.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "TaxExemptionReason2Choice" on page 2598 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

**66.1.24.4.18 TaxReporting <TaxRptg>***Presence:* [0..\*]*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.24.4.19 Language <Lang>

*Presence:* [0..1]

*Definition:* Language in which the organisation or person communicates.

*Impacted by:* C34 "ValidationByTable"

*Datatype:* "LanguageCode" on page 2762

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**66.1.24.4.20 MailType <MailTp>**

*Presence:* [0..1]

*Definition:* Method used for postal mailing.

**MailType <MailTp>** contains one of the following elements (see "[MailType1Choice](#)" on page 2093 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2093
Or}	Proprietary <Prtry>	[1..1]	±		2093

**66.1.24.4.21 CountryAndResidentialStatus <CtryAndResdtlSts>**

*Presence:* [0..1]

*Definition:* Country and residential status of the organisation or individual person.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "[CountryAndResidentialStatusType2](#)" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	2075
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2075

**66.1.24.4.22 MonetaryWealth <MntryWith>**

*Presence:* [0..1]

*Definition:* Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

**MonetaryWealth <MntryWith>** contains the following elements (see "[DateAndAmount1](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

**66.1.24.4.23 EquityValue <EqtyVal>**

*Presence:* [0..1]

*Definition:* Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

**EquityValue <EqtyVal>** contains the following elements (see ["DateAndAmount1"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.24.4.24 WorkingCapital <WorkgCptl>

*Presence:* [0..1]

*Definition:* Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

**WorkingCapital <WorkgCptl>** contains the following elements (see ["DateAndAmount1"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.24.4.25 CompanyLink <CpnyLk>

*Presence:* [0..1]

*Definition:* Account owner's connection with the trading party or broker.

**CompanyLink <CpnyLk>** contains one of the following elements (see ["CompanyLink1Choice"](#) on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 66.1.24.4.26 ElectronicMailingServiceReference <ElctrncMlngSvcRef>

*Presence:* [0..1]

*Definition:* Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

*Datatype:* ["Max350Text"](#) on page 2837

#### 66.1.24.4.27 PrimaryCommunicationAddress <PmryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.24.4.28 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.24.4.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

*Presence:* [0..1]

*Definition:* Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.

**AdditionalRegulatoryInformation <AddtlRgltryInf>** contains the following elements (see "[RegulatoryInformation1](#)" on page 2091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2091
	Branch <Brnch>	[0..1]	Text		2092
	Group <Grp>	[0..1]	Text		2092
	Other <Othr>	[0..1]	Text		2092

#### 66.1.24.4.30 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see "[AccountingStatus1Choice](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514

#### 66.1.24.4.31 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditiononallInformation13](#)" on page 1919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

**66.1.24.4.32 ControllingParty <CtrlgPty>***Presence:* [0..1]*Definition:* Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.24.5 InvestmentAccount58**

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**66.1.24.5.1 AccountIdentification <AcctId>***Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837



**66.1.24.5.2 AccountName <AcctNm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**66.1.24.5.3 AccountDesignation <AcctDsgnt>***Presence:* [0..1]*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.*Datatype:* "Max35Text" on page 2837**66.1.24.5.4 OwnerIdentification <Ownrld>***Presence:* [0..\*]*Definition:* Party that legally owns the account.**OwnerIdentification <Ownrld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.24.5.5 AccountServicer <AcctSvcr>***Presence:* [0..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 the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.24.5.6 OrderOriginatorEligibility <OrdOrgtrElgblty>***Presence:* [0..1]*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.*Datatype:* "OrderOriginatorEligibility1Code" on page 2766

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

#### 66.1.24.5.7 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccount6](#)" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

#### 66.1.24.6 InvestmentAccountCategory1Choice

*Definition:* Choice of formats for the specification of the category of investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1622
Or}	Proprietary <Prtry>	[1..1]	±		1623

##### 66.1.24.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Category of investment account expressed as a code.

*Datatype:* "InvestmentAccountCategory1Code" on page 2745

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.

CodeName	Name	Definition
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

#### 66.1.24.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Category of investment account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.24.7 InvestmentAccount71

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1623
	AccountIdentification <AcctId>	[1..1]	Text		1624
	AccountName <AcctNm>	[0..1]	Text		1624
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1624
	AccountServicer <AcctSvcr>	[0..1]	±		1624
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1624
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1625
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1625
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1625
	IncomePreference <IncmPref>	[0..1]	CodeSet		1626
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1626
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1626
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1627

#### 66.1.24.7.1 OwnerIdentification <OwnrId>

*Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.24.7.2 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.7.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.7.4 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.7.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.24.7.6 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccount5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

#### 66.1.24.7.7 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "[Intermediary43](#)" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.24.7.8 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.24.7.9 DematerialisedIndicator <DmtrlsdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.24.7.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.24.7.11 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 66.1.24.7.12 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place requested as the place of safekeeping.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2393
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394
Or	Country <Ctry>	[1..1]	CodeSet	C12	2394
Or	TypeAndIdentification <TpAndId>	[1..1]			2394
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395
Or}	Proprietary <Prtry>	[1..1]	±		2395

**66.1.24.7.13 SettlementPartiesDetails <SttlmPtiesDtls>***Presence:* [0..1]*Definition:* Chain of parties involved in the settlement of the transaction.**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters16" on page 2659 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2660
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2660
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2660
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2660

**66.1.24.8 ThirdPartyRights2***Definition:* Information about third party rights.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1627
	DateTime <DtTm>	[0..1]	DateTime		1627
	Holder <Hldr>	[0..1]	±		1627
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1628
	Amount <Amt>	[0..1]	Amount	C1, C13	1628
	Description <Desc>	[0..1]	Text		1628

**66.1.24.8.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of third party right.*Datatype:* "Max35Text" on page 2837**66.1.24.8.2 DateTime <DtTm>***Presence:* [0..1]*Definition:* Timestamp for the third party right.*Datatype:* "ISODateTime" on page 2822**66.1.24.8.3 Holder <Hldr>***Presence:* [0..1]

*Definition:* Party that holds the third party right.

**Holder <Hldr>** contains one of the following elements (see ["PartyIdentification125Choice"](#) on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.24.8.4 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the holder with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* ["LEIIdentifier"](#) on page 2830

#### 66.1.24.8.5 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of the third party right.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

#### 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.

#### 66.1.24.8.6 Description <Desc>

*Presence:* [0..1]

*Definition:* Description of the third party right.

*Datatype:* ["Max350Text"](#) on page 2837

#### 66.1.24.9 InvestmentAccountOwnershipInformation16

*Definition:* Characteristics of the ownership of a securities account.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWlth>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.24.9.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Information about the organisation or individual person.

**Party <Pty>** contains one of the following **Party47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631

##### 66.1.24.9.1.1 Organisation <Org>

*Presence:* [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

*Impacted by:* C24 "OrganisationElementRule"

**Organisation <Org>** contains the following elements (see "Organisation39" on page 1962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1963
	ShortName <ShrtNm>	[0..1]	Text		1963
	Identification <Id>	[0..1]			1963
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1964
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1964
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1964
	Purpose <Purp>	[0..1]	Text		1964
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1965
	RegistrationDate <RegnDt>	[0..1]	Date		1965
	PostalAddress <PstlAdr>	[0..10]	±	C23	1965
	TypeOfOrganisation <TpOfOrg>	[0..1]			1966
{Or	Code <Cd>	[1..1]	CodeSet		1967
Or}	Proprietary <Prtry>	[1..1]	±		1967
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1967

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 66.1.24.9.1.2 IndividualPerson <IndvPrsn>

*Presence:* [1..1]

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

**IndividualPerson <IndvPrsn>** contains the following elements (see "IndividualPerson37" on page 2285 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2287
{Or	Code <Cd>	[1..1]	CodeSet		2287
Or}	Proprietary <Prtry>	[1..1]	±		2287
	GivenName <GvnNm>	[0..1]	Text		2288
	MiddleName <MddlNm>	[0..1]	Text		2288
	Name <Nm>	[1..1]	Text		2288
	NameSuffix <NmSfx>	[0..1]	Text		2288
	Gender <Gndr>	[0..1]	CodeSet		2288
	BirthDate <BirthDt>	[0..1]	Date		2288
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C12	2289
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2289
	CityOfBirth <CityOfBirth>	[0..1]	Text		2289
	Profession <Prfssn>	[0..1]	Text		2289
	PostalAddress <PstlAdr>	[1..10]	±	C23	2289
	Citizenship <Ctznsh>	[0..3]			2290
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2291
	MinorIndicator <MnrInd>	[1..1]	Indicator		2291
	EmployingCompany <EmplngCpny>	[0..1]	Text		2291
	BusinessFunction <BizFctn>	[0..1]	Text		2291
	PoliticallyExposedPerson <PltclYXpsdPrsn>	[0..1]		C29	2291
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2293
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2294
	DeathDate <DthDt>	[0..1]	Date		2294
	CivilStatus <CvISts>	[0..1]			2294
{Or	Code <Cd>	[1..1]	CodeSet		2294
Or}	Proprietary <Prtry>	[1..1]	±		2295

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EducationLevel <EdctnLvl>	[0..1]	Text		2295
	FamilyInformation <FmlyInf>	[0..1]			2295
	NameOfFather <NmOfFthr>	[0..1]	Text		2295
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2296
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2296
	GDPRData <GDPRData>	[0..*]			2296
	ConsentType <CnsntTp>	[1..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2296
Or}	Proprietary <Prtry>	[1..1]	±		2297
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2297
	ConsentDate <CnsntDt>	[1..1]	Date		2297

#### 66.1.24.9.2 MoneyLaunderingCheck <MnyLndrgChck>

*Presence:* [0..1]

*Definition:* Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

**MoneyLaunderingCheck <MnyLndrgChck>** contains one of the following elements (see "MoneyLaunderingCheck1Choice" on page 1990 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1991
Or}	Proprietary <Prtry>	[1..1]	±		1991

#### 66.1.24.9.3 InvestorProfileValidation <InvstrPrflVldtn>

*Presence:* [0..\*]

*Definition:* Information to support Know Your Customer (KYC) processes.

**InvestorProfileValidation <InvstrPrfIVldtn>** contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv/>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637

#### 66.1.24.9.3.1 CertificationIndicator <CertfctnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the certificate type has been obtained and verified.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.24.9.3.2 ValidatingParty <VldtngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who validated the document.

*Datatype:* "Max140Text" on page 2836

#### 66.1.24.9.3.3 CheckingParty <ChckngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who checked the document.

*Datatype:* "Max140Text" on page 2836

**66.1.24.9.3.4 ResponsibleParty <RspnsblPty>***Presence:* [0..1]*Definition:* Identification of the person who is responsible for the document.*Datatype:* "Max140Text" on page 2836**66.1.24.9.3.5 CertificateType <CertTp>***Presence:* [0..1]*Definition:* Type of certificate.**CertificateType <CertTp>** contains one of the following elements (see "CertificationType1Choice" on page 2092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2092
Or}	Proprietary <Prtry>	[1..1]	±		2093

**66.1.24.9.3.6 CheckingDate <ChckngDt>***Presence:* [0..1]*Definition:* Date at which the certification check has been performed.*Datatype:* "ISODate" on page 2822**66.1.24.9.3.7 CheckingFrequency <ChckngFrqcy>***Presence:* [0..1]*Definition:* Specifies how frequently the check is performed.*Datatype:* "EventFrequency1Code" on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

**66.1.24.9.3.8 NextRevisionDate <NxtRvsnDt>***Presence:* [0..1]*Definition:* Specifies the date at which the next certification check will be performed.*Datatype:* "ISODate" on page 2822**66.1.24.9.3.9 SalaryRange <SlryRg>***Presence:* [0..1]*Definition:* Limits between which a person's salary is estimated.*Datatype:* "Max35Text" on page 2837**66.1.24.9.3.10 SourceOfWealth <SrcOfWlth>***Presence:* [0..1]*Definition:* Indicates the main source of revenue.*Datatype:* "Max140Text" on page 2836**66.1.24.9.3.11 CustomerConductClassification <CstmrCndctClssfctn>***Presence:* [0..1]*Definition:* Specifies an assessment of the customer's behaviour at the time of the account opening application.**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

**66.1.24.9.3.12 RiskLevel <RskLvl>***Presence:* [0..1]*Definition:* Specifies the customer's money laundering risk.**RiskLevel <RskLvl>** contains one of the following elements (see "RiskLevel2Choice" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2074
Or}	Proprietary <Prtry>	[1..1]	±		2075

**66.1.24.9.3.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>***Presence:* [0..1]



*Definition:* Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

**KnowYourCustomerCheckType <KnowYourCstmrChckTp>** contains one of the following elements (see "KYCCheckType1Choice" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2117
Or}	Proprietary <Prtry>	[1..1]	±		2117

#### 66.1.24.9.3.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

*Presence:* [0..1]

*Definition:* Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

**KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>** contains the following elements (see "DataBaseCheck1" on page 2084 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2084
	Identification <Id>	[1..1]	Text		2084

#### 66.1.24.9.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

*Presence:* [0..1]

*Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

*Impacted by:* C25 "OwnershipBeneficiaryRateRule"

**OwnershipBeneficiaryRate <OwnrshBnfcryRate>** contains the following elements (see "OwnershipBeneficiaryRate1" on page 2091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2091
	Fraction <Frctn>	[0..1]	Text		2091

#### Constraints

- **OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

#### 66.1.24.9.5 ClientIdentification <CIntld>

*Presence:* [0..1]

*Definition:* Unique identification, as assigned by an organisation, to unambiguously identify a party.

*Datatype:* "Max35Text" on page 2837

**66.1.24.9.6 FiscalExemption <FscIXmptn>***Presence:* [0..1]*Definition:* Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.9.7 SignatoryRightIndicator <SgntryRghtInd>***Presence:* [0..1]*Definition:* Indicates whether the signature of the account owner is required to authorise transactions on the account.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.9.8 MiFIDClassification <MiFIDClssfctn>***Presence:* [0..1]*Definition:* Details about the MiFID classification of the account owner.**MiFIDClassification <MiFIDClssfctn>** contains the following elements (see ["MiFIDClassification1"](#) on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1868
	Narrative <Nrrtv>	[0..1]	Text		1868

**66.1.24.9.9 Notification <Ntfctn>***Presence:* [0..\*]*Definition:* Type of information that must be provided to the account holder.**Notification <Ntfctn>** contains the following elements (see ["Notification2"](#) on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1878
	Required <Reqrd>	[1..1]	Indicator		1878
	DistributionType <DstrbtnTp>	[0..1]	±		1878

**66.1.24.9.10 FATCAFormType <FATCAFormTp>***Presence:* [0..\*]*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

**FATCAFormType <FATCAFormTp>** contains one of the following elements (see "FATCAForm1Choice" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1884
Or}	Proprietary <Prtry>	[1..1]	±		1884

#### 66.1.24.9.11 FATCAStatus <FATCASts>

*Presence:* [0..\*]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

**FATCAStatus <FATCASts>** contains the following elements (see "FATCAStatus2" on page 2028 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2028
{Or	Code <Cd>	[1..1]	CodeSet		2028
Or}	Proprietary <Prtry>	[1..1]	±		2029
	Source <Src>	[0..1]			2029
{Or	Code <Cd>	[1..1]	CodeSet		2030
Or}	Proprietary <Prtry>	[1..1]	±		2030

#### 66.1.24.9.12 FATCAReportingDate <FATCARptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2822

#### 66.1.24.9.13 CRSFormType <CRSFormTp>

*Presence:* [0..\*]

*Definition:* Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

**CRSFormType <CRSFormTp>** contains one of the following elements (see "CRSForm1Choice" on page 2107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2108
Or}	Proprietary <Prtry>	[1..1]	±		2108

#### 66.1.24.9.14 CRSStatus <CRSSts>

*Presence:* [0..\*]

*Definition:* Common Reporting Standard (CRS) status of the investor or account owner.

**CRSStatus <CRSSts>** contains the following elements (see "[CRSStatus4](#)" on page 2109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2109
{Or	Code <Cd>	[1..1]	CodeSet		2110
Or}	Proprietary <Prtry>	[1..1]	±		2111
	Source <Src>	[0..1]			2111
{Or	Code <Cd>	[1..1]	CodeSet		2111
Or}	Proprietary <Prtry>	[1..1]	±		2112
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C12	2112

#### 66.1.24.9.15 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.24.9.16 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following elements (see "[GenericIdentification82](#)" on page 1563 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

**66.1.24.9.17 TaxExemption <TaxXmptn>**

*Presence:* [0..1]

*Definition:* Tax advantage specific to the account party.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "TaxExemptionReason2Choice" on page 2598 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

**66.1.24.9.18 TaxReporting <TaxRptg>**

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.24.9.19 Language <Lang>

*Presence:* [0..1]

*Definition:* Language in which the organisation or person communicates.

*Impacted by:* C34 "ValidationByTable"

*Datatype:* "LanguageCode" on page 2762

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**66.1.24.9.20 MailType <MailTp>**

*Presence:* [0..1]

*Definition:* Method used for postal mailing.

**MailType <MailTp>** contains one of the following elements (see "[MailType1Choice](#)" on page 2093 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2093
Or}	Proprietary <Prtry>	[1..1]	±		2093

**66.1.24.9.21 CountryAndResidentialStatus <CtryAndResdtlSts>**

*Presence:* [0..1]

*Definition:* Country and residential status of the organisation or individual person.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "[CountryAndResidentialStatusType2](#)" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	2075
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2075

**66.1.24.9.22 MonetaryWealth <MntryWith>**

*Presence:* [0..1]

*Definition:* Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

**MonetaryWealth <MntryWith>** contains the following elements (see "[DateAndAmount1](#)" on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

**66.1.24.9.23 EquityValue <EqtyVal>**

*Presence:* [0..1]

*Definition:* Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

**EquityValue <EqtyVal>** contains the following elements (see ["DateAndAmount1"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.24.9.24 WorkingCapital <WorkgCptl>

*Presence:* [0..1]

*Definition:* Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

**WorkingCapital <WorkgCptl>** contains the following elements (see ["DateAndAmount1"](#) on page 1304 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1304
	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.24.9.25 CompanyLink <CpnyLk>

*Presence:* [0..1]

*Definition:* Account owner's connection with the trading party or broker.

**CompanyLink <CpnyLk>** contains one of the following elements (see ["CompanyLink1Choice"](#) on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 66.1.24.9.26 ElectronicMailingServiceReference <ElctrncMlngSvcRef>

*Presence:* [0..1]

*Definition:* Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

*Datatype:* ["Max350Text"](#) on page 2837

#### 66.1.24.9.27 PrimaryCommunicationAddress <PmryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.



**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.24.9.28 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.24.9.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

*Presence:* [0..1]

*Definition:* Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.

**AdditionalRegulatoryInformation <AddtlRgltryInf>** contains the following elements (see "[RegulatoryInformation1](#)" on page 2091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2091
	Branch <Brnch>	[0..1]	Text		2092
	Group <Grp>	[0..1]	Text		2092
	Other <Othr>	[0..1]	Text		2092

#### 66.1.24.9.30 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see "[AccountingStatus1Choice](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514

#### 66.1.24.9.31 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditiononallInformation13](#)" on page 1919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

**66.1.24.9.32 ControllingParty <CtrlgPty>***Presence:* [0..1]*Definition:* Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.24.10 InvestmentAccount70**

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1647
	AccountIdentification <AcctId>	[1..1]	Text		1648
	AccountName <AcctNm>	[0..1]	Text		1648
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1648
	AccountServicer <AcctSvcr>	[0..1]	±		1648
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1648
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1649
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1649
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1649
	IncomePreference <IncmPref>	[0..1]	CodeSet		1650
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1650
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1650
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1651

**66.1.24.10.1 OwnerIdentification <OwnrId>***Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.24.10.2 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.10.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.10.4 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.10.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.24.10.6 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

#### 66.1.24.10.7 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.24.10.8 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.24.10.9 DematerialisedIndicator <DmtrlsdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.24.10.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.24.10.11 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 66.1.24.10.12 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place requested as the place of safekeeping.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2393
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394
Or	Country <Ctry>	[1..1]	CodeSet	C12	2394
Or	TypeAndIdentification <TpAndId>	[1..1]			2394
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395
Or}	Proprietary <Prtry>	[1..1]	±		2395

**66.1.24.10.13 SettlementPartiesDetails <SttlmPtiesDtls>***Presence:* [0..1]*Definition:* Chain of parties involved in the settlement of the transaction.**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters15" on page 2636 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2637
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2637
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2637
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2637

**66.1.24.11 InvestmentAccount78***Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1651
	AccountName <AcctNm>	[0..1]	Text		1652
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1652
	OwnerIdentification <OwnrId>	[0..*]	±		1652
	AccountServicer <AcctSvcr>	[0..1]	±		1652
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1652
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1653

**Constraints**

- OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**66.1.24.11.1 AccountIdentification <AcctId>***Presence:* [1..1]*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.*Datatype:* "Max35Text" on page 2837

**66.1.24.11.2 AccountName <AcctNm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**66.1.24.11.3 AccountDesignation <AcctDsgnt>***Presence:* [0..1]*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.*Datatype:* "Max35Text" on page 2837**66.1.24.11.4 OwnerIdentification <Ownrld>***Presence:* [0..\*]*Definition:* Party that legally owns the account.**OwnerIdentification <Ownrld>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.24.11.5 AccountServicer <AcctSvcr>***Presence:* [0..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 the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.24.11.6 OrderOriginatorEligibility <OrdrgtrElgblty>***Presence:* [0..1]*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.*Datatype:* "OrderOriginatorEligibility1Code" on page 2766



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

#### 66.1.24.11.7 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccount6](#)" on page 1679 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

#### 66.1.24.12 Reinvestment4

*Definition:* Reinvestment information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1653
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C1	1654
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1655

#### 66.1.24.12.1 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund for the reinvestment.

*Impacted by:* [C20 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.24.12.2 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.24.12.3 ReinvestmentPercentage <RinvstmtPctg>**

*Presence:* [1..1]

*Definition:* Percentage of the reinvestment.

*Datatype:* "PercentageRate" on page 2835

**66.1.24.13 InvestmentAccount73**

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1657
	Name <Nm>	[0..1]	Text		1657
	Designation <Dsgnt>	[0..1]	Text		1657
	Type <Tp>	[0..1]	±		1658
	OwnershipType <OwnrshTp>	[1..1]	±		1658
	TaxExemption <TaxXmptn>	[0..1]	±		1658
	StatementFrequency <StmtFrqcy>	[0..1]	±		1658
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1659
	Language <Lang>	[0..1]	CodeSet	C34	1659
	IncomePreference <IncmPref>	[0..1]	CodeSet		1659
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1659
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1660
	TaxReporting <TaxRptg>	[0..*]	±		1660
	LetterIntentDetails <LttrlInttDtls>	[0..1]	±		1661
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1662
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1662
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1662
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1662
	RoundingDetails <RndgDtls>	[0..1]	±		1663
	AccountServicer <AcctSvcr>	[0..1]	±		1664
	BlockedStatus <BlckdSts>	[0..1]	±		1664
	AccountUsageType <AcctUsgTp>	[0..1]	±		1665
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1665
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1665
	TransactionChannelType <TxChanITp>	[0..1]	±		1665
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1665
	Pledging <Pldgg>	[0..1]	CodeSet		1666
	Collateral <Coll>	[0..1]	CodeSet		1666
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1666
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		1667
	AccountingStatus <AcctgSts>	[0..1]	±		1667

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningDate <OpngDt>	[0..1]	±		1667
	ClosingDate <ClsgDt>	[0..1]	±		1667
	NegativeIndicator <NegInd>	[0..1]	Indicator		1668
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1668
	Liability <Lblty>	[0..1]	±		1668
	InvestorProfile <InvstrPrfl>	[0..*]	±		1668
	FiscalYear <FscYr>	[0..1]	±		1669

### Constraints

- **FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

```
On Condition
  /IncomePreference is equal to value 'Cash'
Following Must be True
  /ReinvestmentDetails[*] Must be absent
```

- **ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

#### 66.1.24.13.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.13.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.13.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are

registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.13.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see "[AccountType2Choice](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.24.13.5 OwnershipType <OwnrshTp>

*Presence:* [1..1]

*Definition:* Ownership status of the account, for example, joint owners.

**OwnershipType <OwnrshTp>** contains one of the following elements (see "[OwnershipType2Choice](#)" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

#### 66.1.24.13.6 TaxExemption <TaxXmptn>

*Presence:* [0..1]

*Definition:* Tax advantage specific to the account.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2598 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

#### 66.1.24.13.7 StatementFrequency <StmtFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which a statement is issued.

**StatementFrequency <StmntFrqcy>** contains one of the following elements (see "StatementFrequencyReason2Choice" on page 1557 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1557
Or}	Proprietary <Prtry>	[1..1]	±		1558

#### 66.1.24.13.8 ReferenceCurrency <RefCcy>

*Presence:* [0..1]

*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

#### 66.1.24.13.9 Language <Lang>

*Presence:* [0..1]

*Definition:* Language for all communication concerning the account.

*Impacted by:* C34 "ValidationByTable"

*Datatype:* "LanguageCode" on page 2762

##### Constraints

- **ValidationByTable**

Must be a valid terrestrial language.

#### 66.1.24.13.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.24.13.11 ReinvestmentDetails <RinvstmtDtls>

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails <RinvstmtDtls>** contains the following elements (see "Reinvestment4" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1653
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C1	1654
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1655

#### 66.1.24.13.12 TaxWithholdingMethod <TaxWhldgMtd>

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2810

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 66.1.24.13.13 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.



**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.24.13.14 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1877
	Amount <Amt>	[0..1]	Amount	C1	1877
	StartDate <StartDt>	[0..1]	Date		1877
	EndDate <EndDt>	[0..1]	Date		1877

#### 66.1.24.13.15 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.13.16 RequiredSignatoriesNumber <ReqrSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2834

#### 66.1.24.13.17 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2837

#### 66.1.24.13.18 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.24.13.19 RoundingDetails <RndgDtls>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.

**RoundingDetails <RndgDtls>** contains the following elements (see "RoundingParameters1" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1306
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1306

#### 66.1.24.13.20 AccountServicer <AcctSvcr>

*Presence:* [0..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 "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.24.13.21 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2472
Or}	Reason <Rsn>	[1..*]			2473
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

**66.1.24.13.22 AccountUsageType <AcctUsgTp>***Presence:* [0..1]*Definition:* Type of usage of the account.**AccountUsageType <AcctUsgTp>** contains one of the following elements (see "[AccountUsageType2Choice](#)" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1581
Or}	Proprietary <Prtry>	[1..1]	±		1581

**66.1.24.13.23 ForeignStatusCertification <FrngStsCertfctn>***Presence:* [0..1]*Definition:* Specifies if documentary evidence has been provided for the foreign resident.*Datatype:* "Provided1Code" on page 2779

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

**66.1.24.13.24 AccountSignatureDateTime <AcctSgntrDtTm>***Presence:* [0..1]*Definition:* Date the investor or account owner signs the open account form.**AccountSignatureDateTime <AcctSgntrDtTm>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.13.25 TransactionChannelType <TxChanITp>***Presence:* [0..1]*Definition:* Means by which the investor or account owner submits the open account form.**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

**66.1.24.13.26 InvestmentAccountCategory <InvstmtAcctCtgy>***Presence:* [0..1]

*Definition:* Category of the account.

**InvestmentAccountCategory** <InvstmtAcctCtgy> contains one of the following elements (see "InvestmentAccountCategory1Choice" on page 1622 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1622
Or}	Proprietary <Prtry>	[1..1]	±		1623

#### 66.1.24.13.27 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2731

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 66.1.24.13.28 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2720

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 66.1.24.13.29 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights** <ThrdPtyRghts> contains the following elements (see "ThirdPartyRights2" on page 1627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1627
	DateTime <DtTm>	[0..1]	DateTime		1627
	Holder <Hldr>	[0..1]	±		1627
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1628
	Amount <Amt>	[0..1]	Amount	C1, C13	1628
	Description <Desc>	[0..1]	Text		1628

**66.1.24.13.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>***Presence:* [0..1]*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>** contains one of the following elements (see "[LevelOfControl1Choice](#)" on page 1884 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

**66.1.24.13.31 AccountingStatus <AcctgSts>***Presence:* [0..1]*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.**AccountingStatus <AcctgSts>** contains one of the following elements (see "[AccountingStatus1Choice](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514

**66.1.24.13.32 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.13.33 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.13.34 NegativeIndicator <NegInd>***Presence:* [0..1]*Definition:* Indicates whether the account can hold a negative position in a security.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.13.35 ProcessingOrder <PrcgOrdr>***Presence:* [0..1]*Definition:* Order in which securities are moved from the account.*Datatype:* ["PositionEffect3Code"](#) on page 2777

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**66.1.24.13.36 Liability <Lbilty>***Presence:* [0..1]*Definition:* Specifies whether the investor assumes responsibility for the liability.**Liability <Lbilty>** contains one of the following elements (see ["Liability1Choice"](#) on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1923
Or}	Proprietary <Prtry>	[1..1]	±		1923

**66.1.24.13.37 InvestorProfile <InvstrPrfl>***Presence:* [0..\*]*Definition:* Information used to determine fees and types of operations that can be carried out on the account.



**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	Status <Sts>	[0..1]			1901
{Or	Code <Cd>	[1..1]	CodeSet		1901
Or}	Proprietary <Prtry>	[1..1]	±		1901
	Treasury <Trsr>	[0..1]			1902
	Date <Dt>	[1..1]	Date		1902
	TraderType <TradrTp>	[1..1]			1902
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903
	Rate <Rate>	[1..1]	Rate		1903
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1903
	Date <Dt>	[0..1]	Date		1903
	SettlementFrequency <SttlmFrqcy>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904
	ConsolidationType <CnsltdtnTp>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905
	MarketMaker <MktMakr>	[0..1]			1905
	ContractPeriod <CtrctPrd>	[0..1]	±		1905
	Compliance <Cmplc>	[0..1]	Indicator		1906
	MaximumSpread <MaxSprd>	[0..1]	Rate		1906
	Discount <Dscnt>	[0..1]	Rate		1906

#### 66.1.24.13.38 FiscalYear <Fsclyr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "FiscalYear1Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1444
Or}	EndDate <EndDt>	[1..1]	Date		1444

#### 66.1.24.14 InvestmentAccount76

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1671
	Designation <Dsgnt>	[0..1]	Text		1671
	FundType <FndTp>	[0..1]	Text		1671
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1671
	SecurityDetails <SctyDtls>	[0..1]		C15	1671
	Identification <Id>	[1..1]	±		1672
	Name <Nm>	[0..1]	Text		1673
	ShortName <ShrtNm>	[0..1]	Text		1673
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1673
	ClassType <ClsTp>	[0..1]	Text		1674
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1674
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1674
	ProductGroup <PdctGrp>	[0..1]	Text		1674
	AccountOwner <AcctOwnr>	[0..1]			1674
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1675
{Or	IdentificationNumber <IdNb>	[1..1]	±		1675
Or}	PersonName <PrsnNm>	[1..1]	±		1675
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1676
	Intermediary <Intrmy>	[0..*]	±		1676
	AccountServicer <AcctSvcr>	[0..1]	±		1677

**Constraints**

- **AccountDataElementRule**

One of the elements (Name, Designation, FundType, FundFamilyName, SecurityDetails, AccountOwner, Intermediary, Account Servicer) must be present.

**66.1.24.14.1 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

**66.1.24.14.2 Designation <Dsgnt>**

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

**66.1.24.14.3 FundType <FndTp>**

*Presence:* [0..1]

*Definition:* Legal form of the fund, for example, UCITS, SICAV, OEIC, Unit Trust, and FCP.

*Datatype:* "Max35Text" on page 2837

**66.1.24.14.4 FundFamilyName <FndFmlyNm>**

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2837

**66.1.24.14.5 SecurityDetails <SctyDtls>**

*Presence:* [0..1]

*Definition:* Detailed information about the investment fund associated to the account.

*Impacted by:* C15 "IdentificationGuideline"

**SecurityDetails <SctyDtIs>** contains the following **FinancialInstrument55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1672
	Name <Nm>	[0..1]	Text		1673
	ShortName <ShrtNm>	[0..1]	Text		1673
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1673
	ClassType <ClsTp>	[0..1]	Text		1674
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1674
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1674
	ProductGroup <PdctGrp>	[0..1]	Text		1674

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.24.14.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.24.14.5.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.24.14.5.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.14.5.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2837

**66.1.24.14.5.5 ClassType <ClsTp>***Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2837**66.1.24.14.5.6 SecuritiesForm <SctiesForm>***Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.24.14.5.7 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2730

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**66.1.24.14.5.8 ProductGroup <PdctGrp>***Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2836**66.1.24.14.6 AccountOwner <AcctOwnr>***Presence:* [0..1]

*Definition:* Owner of the account.

**AccountOwner <AcctOwnr>** contains one of the following **AccountOwner3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1675
{Or	IdentificationNumber <IdNb>	[1..1]	±		1675
Or}	PersonName <PrsnNm>	[1..1]	±		1675
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1676

#### 66.1.24.14.6.1 IndividualOwnerIdentification <IndvOwnrId>

*Presence:* [1..1]

*Definition:* Identification of the individual person that legally owns the account.

**IndividualOwnerIdentification <IndvOwnrId>** contains one of the following **IndividualPersonIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IdentificationNumber <IdNb>	[1..1]	±		1675
Or}	PersonName <PrsnNm>	[1..1]	±		1675

#### 66.1.24.14.6.1.1 IdentificationNumber <IdNb>

*Presence:* [1..1]

*Definition:* Identification of the person that owns the account.

**IdentificationNumber <IdNb>** contains the following elements (see "[GenericIdentification81](#)" on page 1566 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1566
	IdentificationType <IdTp>	[1..1]			1566
{Or	Code <Cd>	[1..1]	CodeSet		1566
Or}	Proprietary <Prtry>	[1..1]	±		1567

#### 66.1.24.14.6.1.2 PersonName <PrsnNm>

*Presence:* [1..1]

*Definition:* Name of the person that owns the account.

**PersonName <PrsnNm>** contains the following elements (see "IndividualPerson35" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2284
	MiddleName <MddlNm>	[0..1]	Text		2285
	Name <Nm>	[1..1]	Text		2285
	Gender <Gndr>	[0..1]	CodeSet		2285
	BirthDate <BirthDt>	[0..1]	Date		2285

#### 66.1.24.14.6.2 OrganisationOwnerIdentification <OrgOwnrId>

*Presence:* [1..1]

*Definition:* Identification of the organisation that legally owns the account.

*Impacted by:* C21 "OrganisationIdentificationRule"

**OrganisationOwnerIdentification <OrgOwnrId>** contains the following elements (see "PartyIdentification220" on page 1967 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1968
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1968
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1969
Or	NameAndAddress <NmAndAdr>	[1..1]			1969
	Name <Nm>	[1..1]	Text		1969
	PostalAddress <PstlAdr>	[0..1]	±	C23	1969
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1970
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1970
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1971

#### Constraints

- **OrganisationIdentificationRule**

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

/Identification Must be present

Or /LegalEntityIdentifier Must be present

#### 66.1.24.14.7 Intermediary <Intrmy>

*Presence:* [0..\*]

*Definition:* Intermediary or other party related to the management of the account.



**Intermediary <Intrmy>** contains the following elements (see "Intermediary47" on page 2036 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2037
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2037
	Account <Acct>	[0..1]			2037
	Identification <Id>	[0..1]	Text		2037
	AccountServicer <AcctSvcr>	[1..1]	±		2038

#### 66.1.24.14.8 AccountServicer <AcctSvcr>

*Presence:* [0..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 "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.24.15 OwnershipType2Choice

*Definition:* Choice of formats for the specification of the ownership type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

##### 66.1.24.15.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Ownership type expressed as a code.

*Datatype:* "AccountOwnershipType4Code" on page 2708

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.

CodeName	Name	Definition
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

**66.1.24.15.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Ownership type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.24.16 SubAccount6***Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1679
	Name <Nm>	[0..1]	Text		1679
	Characteristic <Chrtc>	[0..1]	Text		1679
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1679

**66.1.24.16.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.*Datatype:* "[Max35Text](#)" on page 2837**66.1.24.16.2 Name <Nm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "[Max35Text](#)" on page 2837**66.1.24.16.3 Characteristic <Chrtc>***Presence:* [0..1]*Definition:* Additional properties of the account.*Datatype:* "[Max35Text](#)" on page 2837**66.1.24.16.4 AccountDesignation <AcctDsgnt>***Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.17 Account31

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1680
	AccountName <AcctNm>	[0..1]	Text		1680
	Designation <Dsgnt>	[0..1]	Text		1680
	Servicer <Svcr>	[0..1]	±		1680
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1681

##### 66.1.24.17.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

##### 66.1.24.17.2 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.24.17.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

##### 66.1.24.17.4 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**Servicer <Svcr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.24.17.5 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-accounts that are grouped in a master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

#### 66.1.24.18 SafekeepingAccount2

*Definition:* Safekeeping or investment account. A safekeeping account is an account on which a securities entry is made. An investment account is an account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1681
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1682
	Name <Nm>	[0..1]	Text		1682
	Designation <Dsgnt>	[0..1]	Text		1682
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1682
	AccountOwner <AcctOwnr>	[0..1]	±		1683
	AccountServicer <AcctSvcr>	[0..1]	±		1683

##### 66.1.24.18.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1296 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1296
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1296
	Identification <Id>	[1..1]	±		1297
	Purpose <Purp>	[1..1]	CodeSet		1297
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1297

#### 66.1.24.18.2 FungibleIndicator <Fngblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.24.18.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.18.4 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.24.18.5 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, eg, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary11" on page 2087 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2087
	Account <Acct>	[0..1]	±		2087
{Or	Role <Role>	[0..1]	CodeSet		2088
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		2089

#### 66.1.24.18.6 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.24.18.7 AccountServicer <AcctSvcr>

*Presence:* [0..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 "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.24.19 InvestmentAccount75

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		1685
	Name <Nm>	[0..1]	Text		1686
	Designation <Dsgnt>	[0..1]	Text		1686
	Type <Tp>	[0..1]	±		1686
	OwnershipType <OwnrshTp>	[0..1]	±		1687
	TaxExemption <TaxXmptn>	[0..1]	±		1687
	StatementFrequency <StmtFrqcy>	[0..1]	±		1687
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C1	1687
	Language <Lang>	[0..1]	CodeSet	C34	1688
	IncomePreference <IncmPref>	[0..1]	CodeSet		1688
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1688
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1688
	TaxReporting <TaxRptg>	[0..*]	±		1689
	LetterIntentDetails <LttrlnttDtls>	[0..1]	±		1690
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1691
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1691
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1691
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			1691
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1691
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1692
	RoundingDetails <RndgDtls>	[0..1]	±		1693
	AccountServicer <AcctSvcr>	[0..1]	±		1693
	BlockedStatus <BlckdSts>	[0..1]	±		1693
	AccountUsageType <AcctUsgTp>	[0..1]	±		1694
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1694
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1694
	TransactionChannelType <TxChanITp>	[0..1]	±		1695
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1695
	Pledging <Pldgg>	[0..1]	CodeSet		1695
	Collateral <Coll>	[0..1]	CodeSet		1695
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1696



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1696
	AccountingStatus <AcctgSts>	[0..1]	±		1696
	OpeningDate <OpngDt>	[0..1]	±		1697
	ClosingDate <ClsgDt>	[0..1]	±		1697
	NegativeIndicator <Neglnd>	[0..1]	Indicator		1697
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1697
	Liability <Lbilty>	[0..1]	±		1697
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			1698
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1698
	InvestorProfile <InvstrPrfl>	[1..1]	±		1698
	FiscalYear <Fsclyr>	[0..1]	±		1699

### Constraints

- **AccountElementRule**

One of the elements (AccountStatusUpdateInstruction, Name, Designation, Type, OwnershipType, TaxExemption, StatementFrequency, ReferenceCurrency, Language, IncomePreference, ReinvestmentDetails, TaxWithholdingMethod, TaxReporting, LetterIntentDetails, AccumulationRightReference, RequiredSignatoriesNumber, FundFamilyName, ModifiedFinancialInstrumentDetails, RoundingDetails, Account Servicer, BlockedStatus, AccountUsageType, ForeignStatusCertification, AccountSignatureDateTime, TransactionChannelType, InvestmentAccountCategory, Pledging, Collateral, ThirdPartyRights, PowerOfAttorneyLevelOfControl, AccountingStatus, OpeningDate, ClosingDate, NegativeIndicator, ProcessingOrder, Liability, ModifiedInvestorProfile, FiscalYear) must be present.

- **FinancialInstrumentDetailsGuideline**

ModifiedFinancialInstrumentDetails/FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestmentRule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

```
On Condition
  /IncomePreference is equal to value 'Cash'
Following Must be True
  /ReinvestmentDetails[*] Must be absent
```

- **ReinvestmentPercentageRule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

### 66.1.24.19.1 AccountStatusUpdateInstruction <AcctStsUpdInstr>

*Presence:* [0..1]

*Definition:* Change of account status is instructed.

**AccountStatusUpdateInstruction <AcctStsUpdInstr>** contains the following elements (see "AccountStatusUpdateInstruction1" on page 2544 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			2545
{Or	Code <Cd>	[1..1]	CodeSet		2545
Or}	Proprietary <Prtry>	[1..1]	±		2545
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			2545
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2546
Or}	Reason <Rsn>	[1..*]		C27	2546
	Code <Cd>	[0..1]			2546
{Or	Code <Cd>	[1..1]	CodeSet		2547
Or}	Proprietary <Prtry>	[1..1]	±		2547
	AdditionalInformation <AddtlInf>	[0..1]	Text		2547

#### 66.1.24.19.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.19.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.19.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see "AccountType2Choice" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

**66.1.24.19.5 OwnershipType <OwnrshTp>***Presence:* [0..1]*Definition:* Ownership status of the account, for example, joint owners.**OwnershipType <OwnrshTp>** contains one of the following elements (see "[OwnershipType2Choice](#)" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1677
Or}	Proprietary <Prtry>	[1..1]	±		1679

**66.1.24.19.6 TaxExemption <TaxXmptn>***Presence:* [0..1]*Definition:* Tax advantage specific to the account.**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2598 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

**66.1.24.19.7 StatementFrequency <StmtFrqcy>***Presence:* [0..1]*Definition:* Frequency at which a statement is issued.**StatementFrequency <StmtFrqcy>** contains one of the following elements (see "[StatementFrequencyReason2Choice](#)" on page 1557 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1557
Or}	Proprietary <Prtry>	[1..1]	±		1558

**66.1.24.19.8 ReferenceCurrency <RefCcy>***Presence:* [0..1]*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.*Impacted by:* [C1 "ActiveCurrency"](#)*Datatype:* "[ActiveCurrencyCode](#)" on page 2711

**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.

**66.1.24.19.9 Language <Lang>**

*Presence:* [0..1]

*Definition:* Language for all communication concerning the account.

*Impacted by:* [C34 "ValidationByTable"](#)

*Datatype:* ["LanguageCode"](#) on page 2762

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**66.1.24.19.10 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**66.1.24.19.11 ReinvestmentDetails <RinvstmtDtls>**

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails <RinvstmtDtls>** contains the following elements (see ["Reinvestment4"](#) on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1653
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C1	1654
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1655

**66.1.24.19.12 TaxWithholdingMethod <TaxWhldgMtd>**

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2810

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 66.1.24.19.13 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.24.19.14 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1877
	Amount <Amt>	[0..1]	Amount	C1	1877
	StartDate <StartDt>	[0..1]	Date		1877
	EndDate <EndDt>	[0..1]	Date		1877

#### 66.1.24.19.15 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2837

#### 66.1.24.19.16 RequiredSignatoriesNumber <ReqrSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2834

#### 66.1.24.19.17 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2837

#### 66.1.24.19.18 ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the financial instrument associated to the account that is to be modified or deleted.

**ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>** contains the following **ModificationScope42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1691
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1692

##### 66.1.24.19.18.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification2Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.24.19.18.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.



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

#### 66.1.24.19.19 RoundingDetails <RndgDtIs>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.

**RoundingDetails <RndgDtIs>** contains the following elements (see "[RoundingParameters1](#)" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1306
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1306

#### 66.1.24.19.20 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.24.19.21 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2472 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2472
Or}	Reason <Rsn>	[1..*]			2473
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

#### 66.1.24.19.22 AccountUsageType <AcctUsqTp>

*Presence:* [0..1]

*Definition:* Specifies the type of usage of the account.

**AccountUsageType <AcctUsqTp>** contains one of the following elements (see "AccountUsageType2Choice" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1581
Or}	Proprietary <Prtry>	[1..1]	±		1581

#### 66.1.24.19.23 ForeignStatusCertification <FrqnStsCertfctn>

*Presence:* [0..1]

*Definition:* Specifies if documentary evidence has been provided for the foreign resident.

*Datatype:* "Provided1Code" on page 2779

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

#### 66.1.24.19.24 AccountSignatureDateTime <AcctSgntrDtTm>

*Presence:* [0..1]

*Definition:* Date the investor or account owner signs the open account form.

**AccountSignatureDateTime <AcctSgntrDtTm>** contains one of the following elements (see "DateAndDateTime1Choice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

#### 66.1.24.19.25 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1876 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 66.1.24.19.26 InvestmentAccountCategory <InvstmtAcctCtgy>

*Presence:* [0..1]

*Definition:* Specifies the category of the account.

**InvestmentAccountCategory <InvstmtAcctCtgy>** contains one of the following elements (see "InvestmentAccountCategory1Choice" on page 1622 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1622
Or}	Proprietary <Prtry>	[1..1]	±		1623

#### 66.1.24.19.27 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2731

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 66.1.24.19.28 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2720

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 66.1.24.19.29 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see ["ThirdPartyRights2"](#) on page 1627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1627
	DateTime <DtTm>	[0..1]	DateTime		1627
	Holder <Hldr>	[0..1]	±		1627
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1628
	Amount <Amt>	[0..1]	Amount	C1, C13	1628
	Description <Desc>	[0..1]	Text		1628

#### 66.1.24.19.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>

*Presence:* [0..1]

*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>** contains one of the following elements (see ["LevelOfControl1Choice"](#) on page 1884 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

#### 66.1.24.19.31 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see ["AccountingStatus1Choice"](#) on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514

**66.1.24.19.32 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.19.33 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1443
Or}	DateTime <DtTm>	[1..1]	DateTime		1443

**66.1.24.19.34 NegativeIndicator <NegInd>***Presence:* [0..1]*Definition:* Indicates whether the account can hold a negative position in a security.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.24.19.35 ProcessingOrder <PrcgOrdr>***Presence:* [0..1]*Definition:* Order in which securities are moved from the account.*Datatype:* ["PositionEffect3Code"](#) on page 2777

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**66.1.24.19.36 Liability <Lbly>***Presence:* [0..1]

*Definition:* Specifies whether the investor assumes responsibility for the liability.

**Liability <Lbly>** contains one of the following elements (see "[Liability1Choice](#)" on page 1923 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1923
Or}	Proprietary <Prtry>	[1..1]	±		1923

#### 66.1.24.19.37 ModifiedInvestorProfile <ModfdInvstrPrfl>

*Presence:* [0..\*]

*Definition:* Information related to the investor profile to be inserted, updated or deleted.

**ModifiedInvestorProfile <ModfdInvstrPrfl>** contains the following **ModificationScope46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1698
	InvestorProfile <InvstrPrfl>	[1..1]	±		1698

##### 66.1.24.19.37.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "[DataModification1Code](#)" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

##### 66.1.24.19.37.2 InvestorProfile <InvstrPrfl>

*Presence:* [1..1]

*Definition:* Information used to determine fees and types of operations that can be carried out on the account.

**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	Status <Sts>	[0..1]			1901
{Or	Code <Cd>	[1..1]	CodeSet		1901
Or}	Proprietary <Prtry>	[1..1]	±		1901
	Treasury <Trsr>	[0..1]			1902
	Date <Dt>	[1..1]	Date		1902
	TraderType <TradrTp>	[1..1]			1902
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903
	Rate <Rate>	[1..1]	Rate		1903
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1903
	Date <Dt>	[0..1]	Date		1903
	SettlementFrequency <SttlmFrqcy>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904
	ConsolidationType <CnsltdtnTp>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905
	MarketMaker <MktMakr>	[0..1]			1905
	ContractPeriod <CtrctPrd>	[0..1]	±		1905
	Compliance <Cmplc>	[0..1]	Indicator		1906
	MaximumSpread <MaxSprd>	[0..1]	Rate		1906
	Discount <Dscnt>	[0..1]	Rate		1906

#### 66.1.24.19.38 FiscalYear <Fsclyr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "[FiscalYear1Choice](#)" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1444
Or}	EndDate <EndDt>	[1..1]	Date		1444

#### 66.1.24.20 Account28

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1700
	AccountIdentification <Acctld>	[0..1]	Text		1700
	Designation <Dsgnt>	[0..1]	Text		1701
	AccountName <AcctNm>	[0..1]	Text		1701
	Servicer <Svcr>	[0..1]	±		1701
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1701

##### 66.1.24.20.1 OwnerIdentification <Ownrld>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <Prtryld>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

##### 66.1.24.20.2 AccountIdentification <Acctld>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837



**66.1.24.20.3 Designation <Dsgnt>***Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837**66.1.24.20.4 AccountName <AcctNm>***Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837**66.1.24.20.5 Servicer <Svcr>***Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**Servicer <Svcr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

**66.1.24.20.6 SubAccountDetails <SubAcctDtls>***Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	Characteristic <Chrtc>	[0..1]	Text		1290

**66.1.24.21 CustomerConductClassification1Choice**

*Definition:* Choice of formats for the specification of the customer conduct classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1702
Or}	Proprietary <Prtry>	[1..1]	±		1702

#### 66.1.24.21.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Conduct type expressed as a code.

*Datatype:* "ConductClassification1Code" on page 2722

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

#### 66.1.24.21.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Conduct type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

## 66.1.25 InvestmentFundCashForecast

### 66.1.25.1 Fund2

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1704
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1704
	Identification <Id>	[0..1]			1704
	Identification <Id>	[1..1]	Text		1704
	Type <Tp>	[1..1]	±		1704
	Currency <Ccy>	[0..1]	CodeSet	C2	1705
	TradeDateTime <TradDtTm>	[0..1]	±		1705
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1705
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1706
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1706
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1706
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1707
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1707
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1707
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1707
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1707
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1708
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1708
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1708
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1708

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or      /Name Must be present
```

#### 66.1.25.1.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2837

#### 66.1.25.1.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.25.1.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1704
	Type <Tp>	[1..1]	±		1704

##### 66.1.25.1.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2837

##### 66.1.25.1.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	1563
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1563

#### 66.1.25.1.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.25.1.5 TradeDateTime <TradDtTm>

*Presence:* [0..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.25.1.6 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.25.1.7 TotalNAV <TtlNAV>***Presence:* [0..1]*Definition:* Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.1.8 PreviousTotalNAV <PrvsTtlNAV>***Presence:* [0..1]*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.1.9 TotalUnitsNumber <TtlUnitsNb>***Presence:* [0..1]*Definition:* Total number of units of the fund/sub fund.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.1.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>***Presence:* [0..1]*Definition:* Previous total number of units of the fund/sub fund.**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.1.11 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>***Presence:* [0..1]*Definition:* Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.*Datatype:* ["PercentageRate"](#) on page 2835**66.1.25.1.12 CashInForecastDetails <CshInFcstDtls>***Presence:* [0..\*]*Definition:* Cash movement into the fund/sub fund.**CashInForecastDetails <CshInFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1744 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1744
	Amount <Amt>	[1..1]	Amount	C2, C10	1744

**66.1.25.1.13 CashOutForecastDetails <CshOutFcstDtls>***Presence:* [0..\*]*Definition:* Cash movement out of the fund/sub fund.**CashOutForecastDetails <CshOutFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1744 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1744
	Amount <Amt>	[1..1]	Amount	C2, C10	1744

**66.1.25.1.14 NetCashForecastDetails <NetCshFcstDtls>***Presence:* [0..\*]*Definition:* Net cash as a result of the cash-in and cash-out flows.

**NetCashForecastDetails** <NetCshFcstDtIs> contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttImDt>	[0..1]	Date		1708
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1708
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1708
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1708

#### 66.1.25.1.14.1 CashSettlementDate <CshSttImDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.25.1.14.2 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.1.14.3 NetUnitsNumber <NetUnitsNb>

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber** <NetUnitsNb> contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.25.1.14.4 FlowDirection <FlowDrctn>

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.



Datatype: "FlowDirectionType1Code" on page 2738

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

### 66.1.25.2 EstimatedFundCashForecast5

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1710
	TradeDateTime <TradDtTm>	[1..1]	±		1710
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1710
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1711
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C2, C10	1711
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1712
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1712
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1712
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1713
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1713
	CurrencyStatus <CcySts>	[0..1]	±		1713
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1713
	Price <Pric>	[0..1]	±		1713
	ForeignExchangeRate <FXRate>	[0..1]	±		1714
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		1714
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1714
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1715
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1716
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1717
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C5	1718

**Constraints**

- **ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

**66.1.25.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

**66.1.25.2.2 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.25.2.3 PreviousTradeDateTime <PrvsTradDtTm>**

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime** <PrvsTradDtTm> contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.25.2.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails** <FinInstrmDtls> contains the following elements (see "FinancialInstrument9" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVVCcy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.25.2.5 EstimatedTotalNAV <EstmtdTtlNAV>

*Presence:* [0..\*]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be 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.

#### 66.1.25.2.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.2.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Estimated total number of investment fund class units that have been issued.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.25.2.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.2.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>***Presence:* [0..1]*Definition:* Rate of change of the net asset value.*Datatype:* "PercentageRate" on page 2835**66.1.25.2.10 InvestmentCurrency <InvstmtCcy>***Presence:* [0..\*]*Definition:* Currency of the investment fund class.*Impacted by:* C2 "ActiveOrHistoricCurrency"*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.25.2.11 CurrencyStatus <CcySts>***Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "CurrencyDesignation1" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

**66.1.25.2.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>***Presence:* [1..1]*Definition:* Indicates whether the estimated net cash flow is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.25.2.13 Price <Pric>***Presence:* [0..1]*Definition:* Price per unit of the previous trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

#### 66.1.25.2.14 ForeignExchangeRate <FXRate>

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

#### 66.1.25.2.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsstlNAV>

*Presence:* [0..1]

*Definition:* Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.25.2.16 BreakdownByParty <BrkdwnByPty>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by party.

**BreakdownByParty <BrkdwnByPty>** contains the following elements (see "BreakdownByParty3" on page 1888 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1889
	AccountIdentification <AcctId>	[0..1]	±		1890
	OwnerIdentification <OwnrId>	[0..1]	±		1890
	AccountServicer <AcctSvcr>	[0..1]	±		1890
	AdditionalParameters <AddtlParams>	[0..1]	±		1891
	CashInForecast <CshInFcst>	[0..*]		C5	1891
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1892
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1892
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1892
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1892
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1893
	AdditionalBalance <AddtlBal>	[0..1]	±		1893
	CashOutForecast <CshOutFcst>	[0..*]		C6	1893
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1894
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1894
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1895
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1895
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1895
	AdditionalBalance <AddtlBal>	[0..1]	±		1896
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1896

#### 66.1.25.2.17 BreakdownByCountry <BrkdwnByCtry>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by country.

**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1939 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1940
	CashInForecast <CshInFcst>	[0..*]		C5	1940
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1941
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1941
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1942
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1942
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1942
	AdditionalBalance <AddtlBal>	[0..1]	±		1942
	CashOutForecast <CshOutFcst>	[0..*]		C6	1943
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1944
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1944
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1944
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1944
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1944
	AdditionalBalance <AddtlBal>	[0..1]	±		1945
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1945

#### 66.1.25.2.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by currency.



**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1947 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1947
	CashOutForecast <CshOutFcst>	[0..*]		C6	1948
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1948
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1948
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1949
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1949
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1949
	AdditionalBalance <AddtlBal>	[0..1]	±		1950
	CashInForecast <CshInFcst>	[0..*]		C5	1950
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1951
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1951
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1952
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1952
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1952
	AdditionalBalance <AddtlBal>	[0..1]	±		1952
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1953

#### 66.1.25.2.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by a user defined parameter/s.

*Impacted by:* C17 "UserDefinedRule"

**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements (see "BreakdownByUserDefinedParameter3" on page 1907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1908
	AccountIdentification <AcctId>	[0..1]	±		1909
	OwnerIdentification <OwnrId>	[0..1]	±		1909
	AccountServicer <AcctSvcr>	[0..1]	±		1910
	Country <Ctry>	[0..1]	CodeSet	C12	1910
	Currency <Ccy>	[0..1]	CodeSet	C2	1910
	UserDefined <UsrDfnd>	[0..1]	±		1910
	CashInForecast <CshInFcst>	[0..*]		C5	1911
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1911
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1911
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1912
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1912
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1912
	AdditionalBalance <AddtlBal>	[0..1]	±		1913
	CashOutForecast <CshOutFcst>	[0..*]		C6	1913
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1914
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1914
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1915
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1915
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1915
	AdditionalBalance <AddtlBal>	[0..1]	±		1915
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1916

#### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 66.1.25.2.20 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Estimated net cash movements per financial instrument.

*Impacted by:* C5 "AdditionalBalanceRule"

**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 66.1.25.3 Fund1

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1721
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1721
	Identification <Id>	[0..1]			1721
	Identification <Id>	[1..1]	Text		1721
	Type <Tp>	[1..1]	±		1721
	Currency <Ccy>	[0..1]	CodeSet	C2	1722
	TradeDateTime <TradDtTm>	[0..1]	±		1722
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1722
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C2, C10	1723
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1723
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1723
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1724
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1724
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		1724
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		1724
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			1724
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1725
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1725
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1725
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1725

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
```

Following Must be True  
     /Identification Must be present  
 Or     /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
     /LegalEntityIdentifier is absent  
 Following Must be True  
     /Identification Must be present  
 Or     /Name Must be present

#### 66.1.25.3.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2837

#### 66.1.25.3.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.25.3.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1721
	Type <Tp>	[1..1]	±		1721

##### 66.1.25.3.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2837

##### 66.1.25.3.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	1563
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1563

#### 66.1.25.3.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.25.3.5 TradeDateTime <TradDtTm>

*Presence:* [0..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.25.3.6 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which a price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.25.3.7 EstimatedTotalNAV <EstmtdTtlNAV>**

*Presence:* [0..1]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.3.8 PreviousTotalNAV <PrvsTtlNAV>**

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.3.9 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of units of the fund/sub fund.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.3.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>***Presence:* [0..1]*Definition:* Previous total number of units of the fund/sub fund.**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.3.11 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>***Presence:* [0..1]*Definition:* Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.*Datatype:* ["PercentageRate"](#) on page 2835**66.1.25.3.12 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>***Presence:* [0..\*]*Definition:* Estimated cash movement into the fund/sub fund.**EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1744 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1744
	Amount <Amt>	[1..1]	Amount	C2, C10	1744

**66.1.25.3.13 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>***Presence:* [0..\*]*Definition:* Estimated cash movement out of the fund/sub fund.**EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1744 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1744
	Amount <Amt>	[1..1]	Amount	C2, C10	1744

**66.1.25.3.14 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>***Presence:* [0..\*]*Definition:* Net cash as a result of the cash-in and cash-out flows.



**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1725
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1725
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1725
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1725

#### 66.1.25.3.14.1 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.25.3.14.2 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.3.14.3 NetUnitsNumber <NetUnitsNb>

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.25.3.14.4 FlowDirection <FlowDrctn>

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "FlowDirectionType1Code" on page 2738

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

#### 66.1.25.4 Fund3

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1727
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1727
	Identification <Id>	[0..1]			1727
	Identification <Id>	[1..1]	Text		1727
	Type <Tp>	[1..1]	±		1727
	Currency <Ccy>	[0..1]	CodeSet	C2	1728
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C2, C10	1728
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1728
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1729
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1729
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1729

#### Constraints

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or
  /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or    /Name Must be present
```

#### 66.1.25.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2837

#### 66.1.25.4.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.25.4.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1727
	Type <Tp>	[1..1]	±		1727

##### 66.1.25.4.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2837

##### 66.1.25.4.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	1563
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1563

#### 66.1.25.4.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.25.4.5 EstimatedTotalNAV <EstmtdTtlNAV>

*Presence:* [0..1]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.4.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.4.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of units of the fund/sub fund.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.4.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.4.9 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>**

*Presence:* [0..1]

*Definition:* Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.

*Datatype:* "[PercentageRate](#)" on page 2835

**66.1.25.5 EstimatedFundCashForecast6**

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1730
	TradeDateTime <TradDtTm>	[1..1]	±		1730
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1731
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1731
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C2, C10	1732
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1732
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1732
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1733
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1733
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1733
	CurrencyStatus <CcySts>	[0..1]	±		1733
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1734
	Price <Pric>	[0..1]	±		1734
	ForeignExchangeRate <FXRate>	[0..1]	±		1734
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		1734
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	1735
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	1735
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C5	1736

### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlowIndicator is "true" or "1" (Yes), then either EstimatedCashInForecastDetails/ExceptionalCashFlowIndicator or EstimatedCashOutForecastDetails/ExceptionalCashFlowIndicator must be present. Both may be present.

#### 66.1.25.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

#### 66.1.25.5.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.25.5.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.25.5.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* [C12 "FinancialInstrumentIdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "[FinancialInstrument9](#)" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**66.1.25.5.5 EstimatedTotalNAV <EstmtdTtlNAV>**

*Presence:* [0..\*]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.5.6 PreviousTotalNAV <PrvsTtlNAV>**

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.5.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of investment fund class units that have been issued.



**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.25.5.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.25.5.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* ["PercentageRate"](#) on page 2835

#### 66.1.25.5.10 InvestmentCurrency <InvstmtCcy>

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.25.5.11 CurrencyStatus <CcySts>

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "CurrencyDesignation1" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

#### 66.1.25.5.12 ExceptionalNetCashFlowIndicator <XcptnINetCshFlowInd>

*Presence:* [1..1]

*Definition:* Indicates whether the estimated net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.25.5.13 Price <Pric>

*Presence:* [0..1]

*Definition:* Price per unit of the previous trade date.

**Price <Pric>** contains the following elements (see "UnitPrice19" on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

#### 66.1.25.5.14 ForeignExchangeRate <FXRate>

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "ForeignExchangeTerms19" on page 1547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

#### 66.1.25.5.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsstTlNAV>

*Presence:* [0..1]

*Definition:* Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.25.5.16 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>

*Presence:* [0..\*]

*Definition:* Estimated cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C3 "AdditionalBalanceRule"

**EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>** contains the following elements (see "CashInForecast6" on page 1356 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1356
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1357
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1357
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1357
	AdditionalBalance <AddtlBal>	[0..1]	±		1357

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.25.5.17 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>

*Presence:* [0..\*]

*Definition:* Estimated cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C4 "AdditionalBalanceRule"

**EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>** contains the following elements (see "CashOutForecast6" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1355
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1355
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1355
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1355
	AdditionalBalance <AddtlBal>	[0..1]	±		1356

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.25.5.18 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

*Impacted by:* C5 "AdditionalBalanceRule"

**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition  
 /AdditionalBalance is present  
 Following Must be True  
 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present  
 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 66.1.25.6 FundCashForecast7

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1738
	TradeDateTime <TradDtTm>	[1..1]	±		1738
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1738
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1738
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	1739
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C2, C10	1739
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1740
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1740
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1740
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C2	1740
	CurrencyStatus <CcySts>	[0..1]	±		1741
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1741
	Price <Pric>	[0..1]	±		1741
	ForeignExchangeRate <FXRate>	[0..1]	±		1741
	PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlNAV>	[0..1]	Rate		1742
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1742
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1743
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C5	1743

**Constraints**

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

**66.1.25.6.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

**66.1.25.6.2 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price has been applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.25.6.3 PreviousTradeDateTime <PrvsTradDtTm>**

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.25.6.4 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [1..1]

*Definition:* Investment fund class to which a cash flow is related.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1481
	Name <Nm>	[0..1]	Text		1482
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1482
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	1482
	ClassType <ClsTp>	[0..1]	Text		1483
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1483
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1483
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1483

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.25.6.5 TotalNAV <TtlNAV>

*Presence:* [0..\*]

*Definition:* Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.6.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.6.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.6.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of investment fund class units that have been issued.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.6.9 TotalNAVChangeRate <TtlNAVChngRate>**

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* "[PercentageRate](#)" on page 2835

**66.1.25.6.10 InvestmentCurrency <InvstmtCcy>**

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* C2 "[ActiveOrHistoricCurrency](#)"

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2711



**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.25.6.11 CurrencyStatus <CcySts>**

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "[CurrencyDesignation1](#)" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

**66.1.25.6.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.25.6.13 Price <Pric>**

*Presence:* [0..1]

*Definition:* Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2335 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

**66.1.25.6.14 ForeignExchangeRate <FXRate>**

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1547 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1548
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1548
	ExchangeRate <XchgRate>	[1..1]	Rate		1548

#### 66.1.25.6.15 PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlnAV>

*Presence:* [0..1]

*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.25.6.16 CashInForecastDetails <CshInFcstDtls>

*Presence:* [0..\*]

*Definition:* Cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* [C3 "AdditionalBalanceRule"](#)

**CashInForecastDetails <CshInFcstDtls>** contains the following elements (see "[CashInForecast6](#)" on page 1356 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1356
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1357
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1357
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1357
	AdditionalBalance <AddtlBal>	[0..1]	±		1357

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.25.6.17 CashOutForecastDetails <CshOutFcstDtIs>

*Presence:* [0..\*]

*Definition:* Cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C4 "AdditionalBalanceRule"

**CashOutForecastDetails <CshOutFcstDtIs>** contains the following elements (see "CashOutForecast6" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1355
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1355
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1355
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1355
	AdditionalBalance <AddtlBal>	[0..1]	±		1356

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.25.6.18 NetCashForecastDetails <NetCshFcstDtIs>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

*Impacted by:* C5 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 66.1.25.7 CashInOutForecast7

*Definition:* Cash movements into or out of a fund as a result of investment funds transactions, for example, subscriptions, redemptions or switches.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1744
	Amount <Amt>	[1..1]	Amount	C2, C10	1744

#### 66.1.25.7.1 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.25.7.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of the cash flow.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.8 Fund4**

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1746
	LegalEntityIdentifier <LglnNtyldr>	[0..1]	IdentifierSet		1746
	Identification <Id>	[0..1]			1746
	Identification <Id>	[1..1]	Text		1746
	Type <Tp>	[1..1]	±		1746
	Currency <Ccy>	[0..1]	CodeSet	C2	1747
	TotalNAV <TtlNAV>	[0..1]	Amount	C2, C10	1747
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C2, C10	1747
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1748
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1748
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1748

**Constraints**

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition

/Identification is absent

Following Must be True

/Name Must be present

Or /LegalEntityIdentifier Must be present

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition

/Name is absent

Following Must be True

/Identification Must be present  
Or /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
/LegalEntityIdentifier is absent  
Following Must be True  
/Identification Must be present  
Or /Name Must be present

#### 66.1.25.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2837

#### 66.1.25.8.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.25.8.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1746
	Type <Tp>	[1..1]	±		1746

##### 66.1.25.8.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2837

##### 66.1.25.8.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	1563
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1563

#### 66.1.25.8.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.25.8.5 TotalNAV <TtlNAV>

*Presence:* [0..1]

*Definition:* Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.25.8.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.25.8.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of units of the fund/sub fund.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.8.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.25.8.9 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>**

*Presence:* [0..1]

*Definition:* Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.

*Datatype:* "[PercentageRate](#)" on page 2835

**66.1.26 InvestmentFundOrder****66.1.26.1 Conversion3**

*Definition:* Identification of a financial instrument.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OriginalSecurity <OrgnlScty>	[1..1]		C27	1749
	Identification <Id>	[1..1]	±		1749
	Name <Nm>	[0..1]	Text		1750
	ShortName <ShrtNm>	[0..1]	Text		1750
	AdditionalInformation <AddtlInf>	[0..*]	±		1750

#### 66.1.26.1.1 OriginalSecurity <OrgnlScty>

*Presence:* [1..1]

*Definition:* Identification of the original security.

*Impacted by:* C27 "IdentificationGuideline"

**OriginalSecurity <OrgnlScty>** contains the following **FinancialInstrumentIdentification5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1749
	Name <Nm>	[0..1]	Text		1750
	ShortName <ShrtNm>	[0..1]	Text		1750

#### Constraints

- **IdentificationGuideline**

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

#### 66.1.26.1.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.26.1.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.1.1.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.1.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the conversion.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 66.1.26.2 InvestmentRestrictions3

*Definition:* Investment restrictions linked to the trading of an investment fund, or an alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C1, C13	1751
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		1752
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C1, C13	1752
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		1752
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C1, C13	1752
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		1753
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		1753
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		1753
	MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>	[0..1]	Amount	C1, C13	1753
	MinimumSwitchSubscriptionUnits <MinSwchSbcptUnits>	[0..1]	Quantity		1754
	MaximumSwitchRedemptionAmount <MaxSwchRedAmt>	[0..1]	Amount	C1, C13	1754
	MaximumSwitchRedemptionUnits <MaxSwchRedUnits>	[0..1]	Quantity		1754
	OtherSwitchRestrictions <OthrSwchRstrctns>	[0..1]	Text		1754
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C1, C13	1754
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		1755
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		1755
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		1755
	AdditionalInformation <AddtlInf>	[0..*]	±		1755

#### 66.1.26.2.1 MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>

*Presence:* [0..1]

*Definition:* Minimum initial quantity of securities, expressed as an amount, that must be purchased at subscription.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.26.2.2 MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum initial number of units/shares that must be purchased.

*Datatype:* "Number" on page 2834

#### **66.1.26.2.3 MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as an amount, that must be purchased.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.26.2.4 MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as number of units/shares that must be purchased.

*Datatype:* "Number" on page 2834

#### **66.1.26.2.5 MaximumRedemptionAmount <MaxRedAmt>**

*Presence:* [0..1]

*Definition:* Maximum quantity of securities, expressed as an amount, that can be sold.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.26.2.6 MaximumRedemptionUnits <MaxRedUnits>

*Presence:* [0..1]

*Definition:* Maximum number of shares/units that may be redeemed on a single dealing day.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.26.2.7 MinimumRedemptionPercentage <MinRedPctg>

*Presence:* [0..1]

*Definition:* Minimum percentage of holding that may be redeemed.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.26.2.8 OtherRedemptionRestrictions <OthrRedRstrctns>

*Presence:* [0..1]

*Definition:* Specifies any other restrictions that may limit an investor's ability to redeem.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.2.9 MinimumSwitchSubscriptionAmount <MinSwtchSbcptAmt>

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as an amount, that must be purchased.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### **66.1.26.2.10 MinimumSwitchSubscriptionUnits <MinSwrchSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as number of units/shares that must be purchased.

*Datatype:* "DecimalNumber" on page 2834

#### **66.1.26.2.11 MaximumSwitchRedemptionAmount <MaxSwrchRedAmt>**

*Presence:* [0..1]

*Definition:* Maximum quantity of securities, expressed as an amount, that can be sold.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### **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.

#### **66.1.26.2.12 MaximumSwitchRedemptionUnits <MaxSwrchRedUnits>**

*Presence:* [0..1]

*Definition:* Maximum number of shares/units that may be redeemed on a single dealing day.

*Datatype:* "DecimalNumber" on page 2834

#### **66.1.26.2.13 OtherSwitchRestrictions <OthrSwrchRstrctns>**

*Presence:* [0..1]

*Definition:* Specifies any other restrictions that may limit an investor's ability to switch.

*Datatype:* "Max350Text" on page 2837

#### **66.1.26.2.14 MinimumHoldingAmount <MinHldgAmt>**

*Presence:* [0..1]

*Definition:* Minimum value of units that must be maintained to avoid automatic redemption.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### **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.

#### **66.1.26.2.15 MinimumHoldingUnits <MinHldgUnits>**

*Presence:* [0..1]

*Definition:* Minimum number of units that must be maintained to avoid automatic redemption.

*Datatype:* "DecimalNumber" on page 2834

#### **66.1.26.2.16 MinimumHoldingPeriod <MinHldgPrd>**

*Presence:* [0..1]

*Definition:* Description of the period, that may be a number of days or weeks or another way of describing the period, during which the units/shares must be held following their issue before redemption will be permitted.

*Datatype:* "Max70Text" on page 2838

#### **66.1.26.2.17 HoldingTransferable <HldgTrfbl>**

*Presence:* [0..1]

*Definition:* Specifies how registered investors are able to transfer some or all of their holdings to third parties.

*Datatype:* "HoldingTransferable1Code" on page 2744

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### **66.1.26.2.18 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the investment restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 66.1.26.3 FundOrderData5

*Definition:* Extract of trade data for an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	1756
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1757
	UnitsNumber <UnitsNb>	[0..1]	Quantity		1758
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1758
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C10	1758
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1759
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	1759
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C1	1759
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C1	1760

#### Constraints

- **OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

#### 66.1.26.3.1 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction for which the status is given.

*Impacted by:* C6 "OrderOriginatorEligibility2Rule"



**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 66.1.26.3.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order instruction for which the status is given.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.26.3.3 UnitsNumber <UnitsNb>**

*Presence:* [0..1]

*Definition:* Number of investment fund units subscribed or redeemed.

*Datatype:* "DecimalNumber" on page 2834

**66.1.26.3.4 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* When the status message is used for a subscription, this is the amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

When the status message is used for a redemption, this is the amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.3.5 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* When the status message is used for a subscription, this is the amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

When the status message is used for a redemption, this is the amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.26.3.6 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings, in a specific investment fund/fund class, that is redeemed.

*Datatype:* "PercentageRate" on page 2835

### 66.1.26.3.7 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

### 66.1.26.3.8 UnitCurrency <UnitCcy>

*Presence:* [0..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.26.3.9 QuotedCurrency <QtdCcy>**

*Presence:* [0..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.26.4 OtherTargetMarket1**

*Definition:* Other target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		1760
	AdditionalInformation <AddtlInf>	[0..1]	±		1760

**66.1.26.4.1 TargetMarketType <TrgtMktTp>**

*Presence:* [1..1]

*Definition:* Type of target market parameter.

*Datatype:* "Max350Text" on page 2837

**66.1.26.4.2 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional information about the target market.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 66.1.26.5 BeneficiaryDrawdown1

*Definition:* Information about the beneficiary of a drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			1761
{Or	Code <Cd>	[1..1]	CodeSet		1761
Or}	Proprietary <Prtry>	[1..1]	±		1761
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		1762
	AdditionalInformation <AddtlInf>	[0..*]	±		1762

#### 66.1.26.5.1 BeneficiaryType <BnfcryTp>

*Presence:* [0..1]

*Definition:* Type of beneficiary.

**BeneficiaryType <BnfcryTp>** contains one of the following **BeneficiaryType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1761
Or}	Proprietary <Prtry>	[1..1]	±		1761

##### 66.1.26.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of beneficiary expressed as a code.

*Datatype:* "BeneficiaryType1Code" on page 2713

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

##### 66.1.26.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of beneficiary expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.26.5.2 DeathUnderLimit <DthUdrLmt>

*Presence:* [0..1]

*Definition:* Indicates whether the original pension holder was under the age limit when deceased. Typically, in the UK this limit is seventy-five.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.26.5.3 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the recipient of the drawdown.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.26.6 Equalisation4

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1763
	Rate <Rate>	[0..1]	Rate		1764
	EqualisationMethodologyType <EqulstnMthdIgyTp>	[0..1]	CodeSet		1764
	ContingentLiquidationPerUnit <CntngntLqdtNPerUnit>	[0..1]	Amount	C2, C10	1764
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1765
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1765
	HighWatermark <HghWtrmrk>	[0..1]	Amount	C2, C10	1766
	GrossAssetValue <GrssAsstVal>	[0..1]	Amount	C2, C10	1766

### Constraints

- **ContingentLiquidationMethodologyTypeRule**

Contingent Liquidation per Unit can only be used with Contingent Liquidation Methodology Type.

On Condition

/EqualisationMethodologyType is equal to value 'ContingentLiquidation'

Following Must be True

/DepreciationDepositPerUnit Must be absent

And /EqualisationCreditPerUnit Must be absent

- **DepreciationDepositMethodologyTypeRule**

Depreciation Deposit per Unit can only be used with Depreciation Deposit Methodology Type.

On Condition

/EqualisationMethodologyType is equal to value 'DepreciationDeposit'

Following Must be True

/ContingentLiquidationPerUnit Must be absent

And /EqualisationCreditPerUnit Must be absent

- **EqualisationCreditMethodologyTypeRule**

Equalisation Credit per Unit can only be used with Equalisation Credit Methodology Type.

On Condition

/EqualisationMethodologyType is equal to value 'EqualisationCredit'

Following Must be True

/ContingentLiquidationPerUnit Must be absent

And /DepreciationDepositPerUnit Must be absent

#### 66.1.26.6.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the equalisation.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.26.6.2 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate used for calculation of the equalisation.

*Datatype:* "PercentageRate" on page 2835

**66.1.26.6.3 EqualisationMethodologyType <EqualstnMthdlgyTp>**

*Presence:* [0..1]

*Definition:* Methodology used for the allocation of the performance fees.

*Datatype:* "EqualisationMethodologyType1Code" on page 2732

CodeName	Name	Definition
COLI	ContingentLiquidation	Mandatory redemption of units processed either at redemption or crystallization, whose proceeds are due to the asset manager as performance fee. Performance fee to be paid by the investor when the value of the investment fund units were below their applicable high-watermark on subscription date, and above the high-watermark on redemption date.
DDEP	DepreciationDeposit	Performance fee to be paid by the investor when the net asset value reaches the high-watermark if the net asset value was under the high-watermark on subscription date.
EQCR	EqualisationCredit	Prepayment amount to be paid by the investor at the moment of the subscription. The amount is based on the positive difference between the gross asset value at subscription and the high-watermark, when the investment fund units are subscribed to above their high-watermark.

**66.1.26.6.4 ContingentLiquidationPerUnit <CntngntLqdtNPerUnit>**

*Presence:* [0..1]



*Definition:* Performance fee to be paid by the investor when the value of the investment fund units were below their applicable high-watermark on subscription date, and above the high-watermark on redemption date.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.26.6.5 DepreciationDepositPerUnit <DprctnDpstPerUnit>

*Presence:* [0..1]

*Definition:* Performance fee to be paid by the investor when the net asset value reaches the high-watermark if the net asset value was under the high-watermark on subscription date.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.26.6.6 EqualisationCreditPerUnit <EqulstnCdtPerUnit>

*Presence:* [0..1]

*Definition:* Prepayment amount to be paid by the investor at the moment of the subscription. The amount is based on the positive difference between the gross asset value at subscription and the high-watermark, when the investment fund units are subscribed to above their high-watermark.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.6.7 HighWatermark <HghWtrmrk>**

*Presence:* [0..1]

*Definition:* The highest net asset value at the end of any previous calculation period, when a performance fee was payable (after the deduction of any such performance fee); or the initial net asset value.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.6.8 GrossAssetValue <GrssAsstVal>**

*Presence:* [0..1]

*Definition:* Value of the investment fund on subscription date before accruals for performance fees.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.26.7 ExpectedExecutionDetails2

*Definition:* Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1767
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1767

#### 66.1.26.7.1 ExpectedTradeDateTime <XpctdTradDtTm>

*Presence:* [0..1]

*Definition:* Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.

**ExpectedTradeDateTime <XpctdTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.26.7.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>

*Presence:* [0..1]

*Definition:* Expected date at which the financial instruments will be exchanged against cash.

*Datatype:* "ISODate" on page 2822

### 66.1.26.8 InvestmentFundsOrderBreakdown2

*Definition:* An investor's instruction to either subscribe or redeem an amount of money or its equivalent, for example, other assets, into or out of an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1767
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768
	Amount <Amt>	[1..1]	Amount	C1, C13	1768

#### 66.1.26.8.1 OrderBreakdownType <OrdrBrkdwnTp>

*Presence:* [1..1]

*Definition:* Type of order breakdown.

**OrderBreakdownType <OrdrBrkdwnTp>** contains one of the following **OrderBreakdownType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1768
Or}	Proprietary <Prtry>	[1..1]	±		1768

#### 66.1.26.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Order breakdown type expressed as a code.

*Datatype:* "FundOrderType5Code" on page 2740

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

#### 66.1.26.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Order breakdown type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.26.8.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Portion of the net amount that is attributed to an order type.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.26.9 ProcessingCharacteristics9**

*Definition:* Processing characteristics linked to a switch order for an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1770
	SwitchAuthorisation <SwtchAuthstn>	[0..1]			1770
	ApplicationForm <ApplForm>	[1..1]	Indicator		1770
	SignatureType <SgntrTp>	[1..1]	CodeSet		1770
	AmountIndicator <AmtInd>	[0..1]	Indicator		1771
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1771
	Rounding <Rndg>	[0..1]	CodeSet		1771
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1771
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1772
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1772
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1772
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1773
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1773
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C26, C36	1773
	LimitedPeriod <LtdPrd>	[0..1]	Text		1774
	SettlementCycle <SttlmCycl>	[0..1]			1774
{Or	TradePlus <TPlus>	[1..1]	Quantity		1774
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1775
	AdditionalInformation <AddtlInf>	[0..*]	±		1775

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

**66.1.26.9.1 DealingCurrencyAccepted <DealgCcyAccptd>**

*Presence:* [0..\*]

*Definition:* Currency in which a switch is accepted.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.26.9.2 SwitchAuthorisation <SwchAuthstn>**

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for a switch.

**SwitchAuthorisation <SwchAuthstn>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1770
	SignatureType <SgnrTp>	[1..1]	CodeSet		1770

**66.1.26.9.2.1 ApplicationForm <ApplForm>**

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.26.9.2.2 SignatureType <SgnrTp>**

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2797

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

#### 66.1.26.9.3 AmountIndicator <AmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether a switch can be instructed by amount.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.9.4 UnitsIndicator <UnitsInd>

*Presence:* [0..1]

*Definition:* Indicates whether a switch can be instructed as a number of units.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.9.5 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 66.1.26.9.6 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation** <MainFndOrdrDskLctn> contains the following elements (see "MainFundOrderDeskLocation1" on page 1834 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1834
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1835
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

#### 66.1.26.9.7 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the switches are done.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.26.9.8 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the switch is done.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.9.9 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to switch can be given.

*Datatype:* "ISOTime" on page 2839



**66.1.26.9.10 DealingCutOffTimeFrame <DealgCutOffTmFrame>***Presence:* [0..1]*Definition:* Dealing cut-off timeframe.*Impacted by:* C23 "NonWorkingDayAdjustmentRule", C33 "TradeMinusRule"**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see "TimeFrame9" on page 1446 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1446
	TradeMinus <TMns>	[0..1]	Quantity		1446
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1447
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1447

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**66.1.26.9.11 DealConfirmationTime <DealConfTm>***Presence:* [0..1]*Definition:* Time at which the deal confirmation is issued.*Datatype:* "ISOTime" on page 2839**66.1.26.9.12 DealConfirmationTimeFrame <DealConfTmFrame>***Presence:* [0..1]*Definition:* Time frame within which the deal confirmation is issued.*Impacted by:* C26 "NonWorkingDayAdjustmentRule", C36 "TradePlusRule"

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame8" on page 1447 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1448
	TradePlus <TPlus>	[0..1]	Quantity		1448
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1448
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1448

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 66.1.26.9.13 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be switched.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.9.14 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1774
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1775

#### 66.1.26.9.14.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2834

**66.1.26.9.14.2 RenunciationPlus <RPlus>***Presence:* [1..1]*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.*Datatype:* "Number" on page 2834**66.1.26.9.15 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the switch processing characteristics.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.10 FundOrderType4Choice***Definition:* Choice of formats for the order type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1775
Or}	Proprietary <Prtry>	[1..1]	±		1776

**66.1.26.10.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of the investment fund order expressed as a code.*Datatype:* "FundOrderType8Code" on page 2740

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).

CodeName	Name	Definition
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

### 66.1.26.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.26.11 PensionOrder1

*Definition:* Order attached to a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1776
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777
	AdditionalInformation <AddtlInf>	[0..*]	±		1777

#### 66.1.26.11.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Order attached to the pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionOrderType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1776
Or}	Proprietary <Prtry>	[1..1]	±		1777

#### 66.1.26.11.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of order attached to the pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionOrderType1Code" on page 2773

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

#### 66.1.26.11.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of order attached to the pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.26.11.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension order.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.26.12 InvestmentNeed2Choice

*Definition:* Choice of formats for an investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1777
Or}	Proprietary <Prtry>	[1..1]	±		1778

#### 66.1.26.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Investment need expressed as a code.

*Datatype:* "InvestmentNeed2Code" on page 2760

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

#### 66.1.26.12.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investment need expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.26.13 ModificationScope41

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1779
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1780
	Frequency <Frqcy>	[1..1]	±		1781
	StartDate <StartDt>	[0..1]	Date		1781
	EndDate <EndDt>	[0..1]	Date		1781
	Quantity <Qty>	[1..1]	±		1781
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1781
	IncomePreference <IncmPref>	[0..1]	CodeSet		1782
	InitialAmount <InitlAmt>	[0..1]	±		1782
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1782
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1782
	SecurityDetails <SctyDtls>	[1..50]			1782
	Quantity <Qty>	[1..1]	±		1783
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1783
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1784
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1785
	ContractReference <CtrctRef>	[0..1]	Text		1786
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1786
	ProductIdentification <PdctId>	[0..1]	Text		1786
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1786
	InsuranceCover <InsrncCover>	[0..1]	±		1786
	PlanStatus <PlanSts>	[0..1]	±		1786
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1787

#### 66.1.26.13.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**66.1.26.13.2 InvestmentPlan <InvstmtPlan>***Presence:* [1..1]*Definition:* Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.*Impacted by:* C6 "AmountRule"**InvestmentPlan <InvstmtPlan>** contains the following **InvestmentPlan16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1781
	StartDate <StartDt>	[0..1]	Date		1781
	EndDate <EndDt>	[0..1]	Date		1781
	Quantity <Qty>	[1..1]	±		1781
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1781
	IncomePreference <IncmPref>	[0..1]	CodeSet		1782
	InitialAmount <InitlAmt>	[0..1]	±		1782
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1782
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1782
	SecurityDetails <SctyDtls>	[1..50]			1782
	Quantity <Qty>	[1..1]	±		1783
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1783
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1784
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1785
	ContractReference <CtrctRef>	[0..1]	Text		1786
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1786
	ProductIdentification <PdctId>	[0..1]	Text		1786
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1786
	InsuranceCover <InsrncCover>	[0..1]	±		1786
	PlanStatus <PlanSts>	[0..1]	±		1786
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1787

**Constraints**• **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent



Following Must be True  
/GrossAmountIndicator Must be absent

#### 66.1.26.13.2.1 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the investment or divestment.

**Frequency <Frqcy>** contains one of the following elements (see "[Frequency20Choice](#)" on page 1558 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1558
Or}	Proprietary <Prtry>	[1..1]	±		1559

#### 66.1.26.13.2.2 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Date the investment plan starts.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.26.13.2.3 EndDate <EndDt>

*Presence:* [0..1]

*Definition:* Date the investment plan stops.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.26.13.2.4 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Amount of the periodical payments.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmount1Choice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2400
Or}	Unit <Unit>	[1..1]	Quantity		2400

#### 66.1.26.13.2.5 GrossAmountIndicator <GrssAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.26.13.2.6 IncomePreference <IncmPref>***Presence:* [0..1]*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**66.1.26.13.2.7 InitialAmount <InitIAmt>***Presence:* [0..1]*Definition:* Initial amount or number of initial instalments.**InitialAmount <InitIAmt>** contains one of the following elements (see "InitialAmount1Choice" on page 1305 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitINbOfInstlmts>	[1..1]	Quantity		1305
Or}	Amount <Amt>	[1..1]	Amount	C1, C13	1305

**66.1.26.13.2.8 TotalNumberOfInstalments <TtINbOfInstlmts>***Presence:* [0..1]*Definition:* Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.*Datatype:* "Number" on page 2834**66.1.26.13.2.9 RoundingDirection <RndgDrctn>***Presence:* [0..1]*Definition:* Indicates the rounding direction when an amount is to be spread over several funds.*Datatype:* "RoundingDirection1Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

**66.1.26.13.2.10 SecurityDetails <SctyDtls>***Presence:* [1..50]*Definition:* Security that an investment plan invests in, or from which the investment plan divests.

**SecurityDetails <SctyDtls>** contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1783
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1783
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1784

#### 66.1.26.13.2.10.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Amount, units or percentage of financial instrument invested or withdrawn.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmountOrPercentage1Choice](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2401
Or	Unit <Unit>	[1..1]	Quantity		2402
Or}	Percentage <Pctg>	[1..1]	Rate		2402

#### 66.1.26.13.2.10.2 FinancialInstrument <FinInstrm>

*Presence:* [1..1]

*Definition:* Detailed information about the security or investment fund.

*Impacted by:* [C20 "IdentificationGuideline"](#)

**FinancialInstrument <FinInstrm>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

### Constraints

#### • IdentificationGuideline

It is recommended that ISIN is used in Identification.

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

#### 66.1.26.13.2.10.3 CurrencyOfPlan <CcyOfPlan>

*Presence:* [0..1]

*Definition:* When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.26.13.2.11 ModifiedCashSettlement <ModfdCshSttlm>**

*Presence:* [0..8]

*Definition:* Cash settlement standing instruction associated to the investment plan and to be either inserted or deleted.

**ModifiedCashSettlement <ModfdCshSttlm>** contains the following elements (see "[CashSettlement4](#)" on page 2453 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2454
	CashAccountDetails <CshAcctDtls>	[0..*]			2454
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2455
	Identification <Id>	[1..1]	±		2456
	AccountOwner <AcctOwnr>	[0..1]	±		2456
	AccountServicer <AcctSvcr>	[0..1]	±		2456
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2457
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2457
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2457
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2458
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2458
{Or	Code <Cd>	[1..1]	CodeSet		2458
Or}	Proprietary <Prtry>	[1..1]	±		2459
	CashAccountPurpose <CshAcctPurp>	[0..1]			2459
{Or	Code <Cd>	[1..1]	CodeSet		2459
Or}	Proprietary <Prtry>	[1..1]	±		2460
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2460
{Or	Code <Cd>	[1..1]	CodeSet		2460
Or}	Proprietary <Prtry>	[1..1]	±		2460
	DividendPercentage <DvddPctg>	[0..1]	Rate		2461
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2461

**66.1.26.13.2.12 ContractReference <CtrctRef>***Presence:* [0..1]*Definition:* Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.*Datatype:* "Max35Text" on page 2837**66.1.26.13.2.13 RelatedContractReference <RltdCtrctRef>***Presence:* [0..1]*Definition:* Reference of the previous contract to which this savings or withdrawal plan is related.*Datatype:* "Max35Text" on page 2837**66.1.26.13.2.14 ProductIdentification <PdctId>***Presence:* [0..1]*Definition:* Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.*Datatype:* "Max35Text" on page 2837**66.1.26.13.2.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>***Presence:* [0..1]*Definition:* Reference of the underlying service level agreement (SLA) governing fees.*Datatype:* "Max35Text" on page 2837**66.1.26.13.2.16 InsuranceCover <InsrncCover>***Presence:* [0..1]*Definition:* Specifies the type of insurance contract to which the savings investment plan is linked.**InsuranceCover <InsrncCover>** contains one of the following elements (see "[InsuranceType2Choice](#)" on page 1916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1917
Or}	Proprietary <Prtry>	[1..1]	±		1917

**66.1.26.13.2.17 PlanStatus <PlanSts>***Presence:* [0..1]*Definition:* Status of the savings or withdrawal investment plan.**PlanStatus <PlanSts>** contains one of the following elements (see "[PlanStatus2Choice](#)" on page 2543 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2543
Or}	Proprietary <Prtry>	[1..1]	±		2543

**66.1.26.13.2.18 InstalmentManagerRole <InstlmtMgrRole>***Presence:* [0..1]*Definition:* Role or function of the instalment manager.

**InstalmentManagerRole <InstlmtMgrRole>** contains one of the following elements (see "[PartyRole4Choice](#)" on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2024
Or}	Proprietary <Prtry>	[1..1]	±		2026

**66.1.26.14 DistributionStrategy1***Definition:* Distribution strategy criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		1787
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsdSvcs>	[0..1]	±		1787
	InvestmentAdvice <InvstmtAdv< >	[0..1]	±		1788
	PortfolioManagement <PrtfMgmt>	[0..1]	±		1788
	Other <Othr>	[0..1]	±		1788

**66.1.26.14.1 ExecutionOnly <ExctnOnly>***Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold on an execution-only basis. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06010.

**ExecutionOnly <ExctnOnly>** contains one of the following elements (see "[DistributionStrategy1Choice](#)" on page 1832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

**66.1.26.14.2 ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsdSvcs>***Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold with an appropriateness test or to a non-advised service. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06020.

**ExecutionWithAppropriatenessTestOrNonAdvisedServices**

**<ExctnWthApprprtnssTstOrNonAdvsdSvcs>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

**66.1.26.14.3 InvestmentAdvice <InvstmtAdvvc>**

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold if investment advice has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06030.

**InvestmentAdvice <InvstmtAdvvc>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

**66.1.26.14.4 PortfolioManagement <PrtfMgmt>**

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold if portfolio management has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06040.

**PortfolioManagement <PrtfMgmt>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

**66.1.26.14.5 Other <Othr>**

*Presence:* [0..1]

*Definition:* Other distribution strategy.



**Other <Othr>** contains the following elements (see "[OtherDistributionStrategy1](#)" on page 1811 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrtgyTp>	[0..1]	Text		1811
	Target <Trgt>	[0..1]	±		1812
	AdditionalInformation <AddtlInf>	[0..1]	±		1812

#### 66.1.26.15 InvestmentFundOrder4

*Definition:* Identifies an order linked to an account opening.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1789
	MasterReference <MstrRef>	[0..1]	Text		1789

##### 66.1.26.15.1 OrderReference <OrdRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.26.15.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.26.16 MoneyPurchaseAnnualAllowance1

*Definition:* Information about a Money Purchase Annual Allowance (MPAA).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1789
	TriggeredDate <TrggrdDt>	[0..1]	Date		1790

##### 66.1.26.16.1 Triggered <Trggrd>

*Presence:* [1..1]

*Definition:* Indicates whether the annual allowance has been triggered.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.26.16.2 TriggeredDate <TrggrdDt>***Presence:* [0..1]*Definition:* Date the annual allowance is taken.*Datatype:* "ISODate" on page 2822**66.1.26.17 ProcessingCharacteristics11***Definition:* Processing characteristics linked to a subscription to an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1791
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1791
	ApplicationForm <ApplForm>	[1..1]	Indicator		1791
	SignatureType <SgntrTp>	[1..1]	CodeSet		1791
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1792
	ApplicationForm <ApplForm>	[1..1]	Indicator		1792
	SignatureType <SgntrTp>	[1..1]	CodeSet		1792
	AmountIndicator <AmtInd>	[0..1]	Indicator		1793
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1793
	Rounding <Rndg>	[0..1]	CodeSet		1793
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1793
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1794
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1794
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1794
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1795
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1795
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C34	1795
	LimitedPeriod <LtdPrd>	[0..1]	Text		1796
	SettlementCycle <SttlmCycl>	[0..1]			1796
{Or	TradePlus <TPlus>	[1..1]	Quantity		1796
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1797
	AdditionalInformation <AddtlInf>	[0..*]	±		1797

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

**66.1.26.17.1 DealingCurrencyAccepted <DealgCcyAccpdt>**

*Presence:* [0..\*]

*Definition:* Currency in which a subscription is accepted.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

**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.

**66.1.26.17.2 InitialInvestmentApplication <InitlInvstmtAppl>**

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for the initial investment.

**InitialInvestmentApplication <InitlInvstmtAppl>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1791
	SignatureType <SgntrTp>	[1..1]	CodeSet		1791

**66.1.26.17.2.1 ApplicationForm <ApplForm>**

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.26.17.2.2 SignatureType <SgntrTp>**

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2797

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

### 66.1.26.17.3 SubsequentInvestmentApplication <SbsqntInvstmtAppl>

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for the subsequent investments.

**SubsequentInvestmentApplication <SbsqntInvstmtAppl>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1792
	SignatureType <SgntrTp>	[1..1]	CodeSet		1792

#### 66.1.26.17.3.1 ApplicationForm <ApplForm>

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.17.3.2 SignatureType <SgntrTp>

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2797

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.

CodeName	Name	Definition
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

#### 66.1.26.17.4 AmountIndicator <AmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether a subscription can be instructed by amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.26.17.5 UnitsIndicator <UnitsInd>

*Presence:* [0..1]

*Definition:* Indicates whether a subscription can be instructed as a number of units.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.26.17.6 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* ["RoundingDirection2Code" on page 2792](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 66.1.26.17.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see "MainFundOrderDeskLocation1" on page 1834 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1834
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1835
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

#### 66.1.26.17.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the subscriptions are done.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.26.17.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the subscription is done.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.17.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to subscribe can be given.

*Datatype:* "ISOTime" on page 2839

**66.1.26.17.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>***Presence:* [0..1]*Definition:* Dealing cut-off timeframe.*Impacted by:* C23 "NonWorkingDayAdjustmentRule", C33 "TradeMinusRule"**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see "TimeFrame9" on page 1446 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1446
	TradeMinus <TMns>	[0..1]	Quantity		1446
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1447
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1447

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**66.1.26.17.12 DealConfirmationTime <DealConfTm>***Presence:* [0..1]*Definition:* Time at which the deal confirmation is issued.*Datatype:* "ISOTime" on page 2839**66.1.26.17.13 DealConfirmationTimeFrame <DealConfTmFrame>***Presence:* [0..1]*Definition:* Time frame within which the deal confirmation is issued.*Impacted by:* C24 "NonWorkingDayAdjustmentRule", C34 "TradePlusRule"

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame11" on page 1450 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1451
	TradePlus <TPlus>	[0..1]	Quantity		1451
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1451
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1451

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 66.1.26.17.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be subscribed.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.17.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1796
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1797

#### 66.1.26.17.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2834



**66.1.26.17.15.2 Prepayment <Prepmt>***Presence:* [1..1]*Definition:* Indicates whether pre-payment is necessary.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.26.17.16 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the subscription processing characteristics.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.18 ExpectedExecutionDetails4***Definition:* Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1797
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1798

**Constraints**

- **DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

**66.1.26.18.1 ExpectedTradeDateTime <XpctdTradDtTm>***Presence:* [0..1]*Definition:* Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.**ExpectedTradeDateTime <XpctdTradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.26.18.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>***Presence:* [0..1]*Definition:* Date of a payment, for example, a prepayment date.*Datatype:* "ISODate" on page 2822**66.1.26.19 OtherInvestmentNeed1***Definition:* Other investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		1798
	Target <Trgt>	[0..1]			1798
{Or	Code <Cd>	[1..1]	CodeSet		1798
Or}	Proprietary <Prtry>	[1..1]	±		1799
	AdditionalInformation <AddtlInf>	[0..1]	±		1799

**66.1.26.19.1 ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>***Presence:* [0..1]*Definition:* Type of return profile.*Datatype:* "Max35Text" on page 2837**66.1.26.19.2 Target <Trgt>***Presence:* [0..1]*Definition:* Choice of formats for the specification of whether the product is aimed at the type of return profile.**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1798
Or}	Proprietary <Prtry>	[1..1]	±		1799

**66.1.26.19.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a code.*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**66.1.26.19.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.26.19.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the target market and the Investor's investment requirements.**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.20 FundOrderData6***Definition:* Extract of trade data for an investment fund switch order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	1799
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1800
	AdditionalAmount <AddtlAmt>	[0..1]	±		1800
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C1	1800
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C1	1801

**Constraints**• **SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

**66.1.26.20.1 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.26.20.2 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2729

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 66.1.26.20.3 AdditionalAmount <AddtlAmt>

*Presence:* [0..1]

*Definition:* Choice between additional cash in or resulting cash out.

**AdditionalAmount <AddtlAmt>** contains one of the following elements (see "AdditionalAmount1Choice" on page 1820 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C2, C10	1820
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C2, C10	1820

#### 66.1.26.20.4 UnitCurrency <UnitCcy>

*Presence:* [0..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 66.1.26.20.5 QuotedCurrency <QtdCcy>

*Presence:* [0..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 66.1.26.21 HoldBackInformation3

*Definition:* Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1801
	Amount <Amt>	[0..1]	Amount	C1, C13	1802
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1802
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1802
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1803
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1803

#### 66.1.26.21.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of gating or a hold back.

*Datatype:* "GateHoldBack1Code" on page 2741

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.

CodeName	Name	Definition
HOLD	HoldBack	Hold back of redemption proceeds.

#### 66.1.26.21.2 Amount <Amt>

*Presence:* [0..1]

*Definition:* Value of the redemption amount subject to gating or a hold back.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.26.21.3 ExpectedReleaseDate <XpctdRlsDt>

*Presence:* [0..1]

*Definition:* Date on which the gated amount or hold back amount is expected to be released.

*Datatype:* "ISODate" on page 2822

#### 66.1.26.21.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* New identification of the security.

**FinancialInstrumentIdentification <FinInstrmId>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.26.21.5 FinancialInstrumentName <FinInstrmNm>

*Presence:* [0..1]

*Definition:* New name of the security.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.21.6 RedemptionCompletion <RedCmpltn>

*Presence:* [0..1]

*Definition:* Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.

*Datatype:* "RedemptionCompletion1Code" on page 2780

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.

CodeName	Name	Definition
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

### 66.1.26.22 Crystallisation2

*Definition:* Number of crystallised units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1804
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1804
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1804
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C1	1804
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C1	1805
	AdditionalInformation <AddtlInf>	[0..*]	±		1805

#### 66.1.26.22.1 TrancheIdentification <TrchId>

*Presence:* [1..1]

*Definition:* Identification of the tranche.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.22.2 CrystallisedUnitsNumber <CrstllsdUnitsNb>

*Presence:* [0..1]

*Definition:* Number of units crystallised.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.26.22.3 UncrystallisedUnitsNumber <UcrstllsdUnitsNb>

*Presence:* [0..1]

*Definition:* Number of units uncrystallised.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.26.22.4 CrystallisedAmount <CrstllsdAmt>

*Presence:* [0..1]

*Definition:* Sum representing the crystallised amount.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704



**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.

**66.1.26.22.5 UncrystallisedAmount <UcrstllsdAmt>**

*Presence:* [0..1]

*Definition:* Sum representing the uncrystallised amount.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**66.1.26.22.6 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the crystallisation.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.23 Equalisation3**

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C1, C13	1806
	Rate <Rate>	[0..1]	Rate		1807
	EqualisationMethodologyType <EqulstnMthdlgyTp>	[0..2]			1807
	EqualisationMethodologyTypeCode <EqulstnMthdlgyTpCd>	[1..1]	CodeSet		1807
	RelatedSubscription <RltdSbcpt>	[0..*]			1808
	Reference <Ref>	[1..1]	±		1808
	RelatedQuantity <RltdQty>	[0..1]	Quantity		1809
	RelatedAmount <RltdAmt>	[0..1]	Amount	C2, C10	1809
	ContingentLiquidationPerUnit <CntngntLqdtPerUnit>	[0..1]	Amount	C2, C10	1809
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1809
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1810
	HighWatermark <HghWtrmrk>	[0..1]	Amount	C2, C10	1810
	GrossAssetValue <GrssAsstVal>	[0..1]	Amount	C2, C10	1811

### Constraints

- RedemptionEqualisationMethodologyTypes1Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

On Condition

/EqualisationMethodologyType[\*]/EqualisationMethodologyTypeCode is equal to value 'ContingentLiquidation'

Following Must be True

/EqualisationMethodologyType[\*]/RelatedSubscription[\*]/  
DepreciationDepositPerUnit Must be absent

- RedemptionEqualisationMethodologyTypes2Rule**

Contingent Liquidation and Depreciation Deposit are mutually exclusive.

On Condition

/EqualisationMethodologyType[\*]/EqualisationMethodologyTypeCode is equal to value 'DepreciationDeposit'

Following Must be True

/EqualisationMethodologyType[\*]/RelatedSubscription[\*]/  
ContingentLiquidationPerUnit Must be absent

### 66.1.26.23.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the equalisation.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.26.23.2 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate used for calculation of the equalisation.

*Datatype:* "PercentageRate" on page 2835

**66.1.26.23.3 EqualisationMethodologyType <EqulstnMthdlgyTp>**

*Presence:* [0..2]

*Definition:* Methodology used for the allocation of the performance fees.

**EqualisationMethodologyType <EqulstnMthdlgyTp>** contains the following **EqualisationMethodologyType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EqualisationMethodologyTypeCode <EqulstnMthdlgyTpCd>	[1..1]	CodeSet		1807
	RelatedSubscription <RltdSbcpt>	[0..*]			1808
	Reference <Ref>	[1..1]	±		1808
	RelatedQuantity <RltdQty>	[0..1]	Quantity		1809
	RelatedAmount <RltdAmt>	[0..1]	Amount	C2, C10	1809
	ContingentLiquidationPerUnit <CntngntLqdtPerUnit>	[0..1]	Amount	C2, C10	1809
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1809
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1810

**66.1.26.23.3.1 EqualisationMethodologyTypeCode <EqulstnMthdlgyTpCd>**

*Presence:* [1..1]

*Definition:* Methodology used for the allocation of the performance fees.

*Datatype:* "EqualisationMethodologyType1Code" on page 2732

CodeName	Name	Definition
COLI	ContingentLiquidation	Mandatory redemption of units processed either at redemption or crystallization, whose proceeds are due to the asset manager as performance

CodeName	Name	Definition
		fee. Performance fee to be paid by the investor when the value of the investment fund units were below their applicable high-watermark on subscription date, and above the high-watermark on redemption date.
DDEP	DepreciationDeposit	Performance fee to be paid by the investor when the net asset value reaches the high-watermark if the net asset value was under the high-watermark on subscription date.
EQCR	EqualisationCredit	Prepayment amount to be paid by the investor at the moment of the subscription. The amount is based on the positive difference between the gross asset value at subscription and the high-watermark, when the investment fund units are subscribed to above their high-watermark.

#### 66.1.26.23.3.2 RelatedSubscription <RltdSbcpt>

*Presence:* [0..\*]

*Definition:* Details of the related subscription order to which the equalisation applies.

**RelatedSubscription <RltdSbcpt>** contains the following **RelatedSubscription1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	±		1808
	RelatedQuantity <RltdQty>	[0..1]	Quantity		1809
	RelatedAmount <RltdAmt>	[0..1]	Amount	C2, C10	1809
	ContingentLiquidationPerUnit <CntngntLqdtPerUnit>	[0..1]	Amount	C2, C10	1809
	DepreciationDepositPerUnit <DprctnDpstPerUnit>	[0..1]	Amount	C2, C10	1809
	EqualisationCreditPerUnit <EqulstnCdtPerUnit>	[0..1]	Amount	C2, C10	1810

#### 66.1.26.23.3.2.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference to the related subscription order the performance fee is based on.

**Reference <Ref>** contains the following elements (see "AdditionalReference11" on page 1577 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1578
	ReferenceIssuer <RefIssr>	[0..1]	±		1578
	MessageName <MsgNm>	[0..1]	Text		1578

**66.1.26.23.3.2.2 RelatedQuantity <RltdQty>**

*Presence:* [0..1]

*Definition:* Number of investment fund units from the related subscription order.

*Datatype:* "DecimalNumber" on page 2834

**66.1.26.23.3.2.3 RelatedAmount <RltdAmt>**

*Presence:* [0..1]

*Definition:* Amount of money paid by the investor for the related subscription order.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.23.3.2.4 ContingentLiquidationPerUnit <CntngntLqdtNPerUnit>**

*Presence:* [0..1]

*Definition:* Performance fee to be paid by the investor when the value of the investment fund units were below their applicable high-watermark on subscription date, and above the high-watermark on redemption date.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.23.3.2.5 DepreciationDepositPerUnit <DprctnDpstPerUnit>**

*Presence:* [0..1]

*Definition:* Performance fee to be paid by the investor when the net asset value reaches the high-watermark if the net asset value was under the high-watermark on subscription date.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.26.23.3.2.6 EqualisationCreditPerUnit <EqulstnCdtPerUnit>

*Presence:* [0..1]

*Definition:* Prepayment amount to be paid by the investor at the moment of the subscription. The amount is based on the positive difference between the gross asset value at subscription and the high-watermark, when the investment fund units are subscribed to above their high-watermark.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.26.23.4 HighWatermark <HghWtrmrk>

*Presence:* [0..1]

*Definition:* The highest net asset value at the end of any previous calculation period, when a performance fee was payable (after the deduction of any such performance fee); or the initial net asset value.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.23.5 GrossAssetValue <GrssAsstVal>**

*Presence:* [0..1]

*Definition:* Value of the investment fund on subscription date before accruals for performance fees.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.24 OtherDistributionStrategy1**

*Definition:* Other distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrtgyTp>	[0..1]	Text		1811
	Target <Trgt>	[0..1]	±		1812
	AdditionalInformation <AddtlInf>	[0..1]	±		1812

**66.1.26.24.1 DistributionStrategyType <DstrbtnStrtgyTp>**

*Presence:* [0..1]

*Definition:* Type of distribution strategy.

*Datatype:* "Max35Text" on page 2837

**66.1.26.24.2 Target <Trgt>**

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of return profile.

**Target <Trgt>** contains one of the following elements (see "[DistributionStrategy1Choice](#)" on page 1832 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

**66.1.26.24.3 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor's risk tolerance.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.25 Drawdown2**

*Definition:* Details of a drawdown tranche.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1814
	TrancheType <TrchTp>	[1..1]	±		1814
	ApplicableRules <ApplblRules>	[0..1]			1814
{Or	Code <Cd>	[1..1]	CodeSet		1814
Or}	Proprietary <Prtry>	[1..1]	±		1815
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1815
	Type <Tp>	[0..1]			1815
{Or	Code <Cd>	[1..1]	CodeSet		1815
Or}	Proprietary <Prtry>	[1..1]	±		1816
	Reference <Ref>	[1..1]	Text		1816
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		1816
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C1	1816
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		1816
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C1	1817
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		1817
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		1817
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		1817
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		1817
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1818
	CappedLimits <CapdLmts>	[0..1]			1818
	StartDate <StartDt>	[0..1]	Date		1818
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C1	1818
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C1	1819
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C1	1819
	AdditionalInformation <AddtlInf>	[0..*]	±		1819
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		1820
	AdditionalInformation <AddtlInf>	[0..*]	±		1820

### Constraints

- **BeneficiaryDetailsRule**

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

/RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

/BeneficiaryDetails Must be absent

#### 66.1.26.25.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the drawdown.

*Datatype:* "Max140Text" on page 2836

#### 66.1.26.25.2 TrancheType <TrchTp>

*Presence:* [1..1]

*Definition:* Type of drawdown tranche.

**TrancheType <TrchTp>** contains one of the following elements (see "DrawdownType2Choice" on page 1842 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1842
Or}	Proprietary <Prtry>	[1..1]	±		1842

#### 66.1.26.25.3 ApplicableRules <ApblRules>

*Presence:* [0..1]

*Definition:* Specifies the rules that are applicable to the drawdown. For example, in the UK market, the pre-A-day rule that was introduced on 6 April 2006.)

**ApplicableRules <ApblRules>** contains one of the following **ApplicableRules1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1814
Or}	Proprietary <Prtry>	[1..1]	±		1815

##### 66.1.26.25.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Applicable rules expressed as a code.

*Datatype:* "ApplicableRules1Code" on page 2713

CodeName	Name	Definition
NPRES	NotPreADay	Pre A Day rules do not apply.
YPRES	PreADay	Pre A Day rules applies.

**66.1.26.25.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Applicable rules expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.26.25.4 InvestorTaxReference <InvstrTaxRef>***Presence:* [0..1]*Definition:* Identification of the investor as assigned by a tax authority.**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1815
{Or	Code <Cd>	[1..1]	CodeSet		1815
Or}	Proprietary <Prtry>	[1..1]	±		1816
	Reference <Ref>	[1..1]	Text		1816

**66.1.26.25.4.1 Type <Tp>***Presence:* [0..1]*Definition:* Type of tax reference.**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1815
Or}	Proprietary <Prtry>	[1..1]	±		1816

**66.1.26.25.4.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of tax reference expressed as a code.*Datatype:* "[PersonIdentificationType7Code](#)" on page 2775

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.

CodeName	Name	Definition
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 66.1.26.25.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.26.25.4.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.26.25.5 PercentageOfTotalTransferValue <PctgOfTtlTrfVal>

*Presence:* [0..1]

*Definition:* Percentage of the total transfer value covered by the drawdown.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.26.25.6 TotalAmountNetDrawdown <TtlAmtNetDrwdwn>

*Presence:* [0..1]

*Definition:* Amount that was originally designated for drawdown.

*Impacted by:* [C1](#) "ActiveCurrency"

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2704

#### 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.

#### 66.1.26.25.7 AdditionalFundsDesignated <AddtlFndsDsgntd>

*Presence:* [0..1]

*Definition:* Indicates whether any additional funds have been designated since the original arrangement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.26.25.8 PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>

*Presence:* [0..1]

*Definition:* Amount of the pension commencement lump sum (PCLS) remaining.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

##### 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.

#### 66.1.26.25.9 PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>

*Presence:* [0..1]

*Definition:* Date by which the pension commencement lump sum (PCLS) must be used.

*Datatype:* "ISODate" on page 2822

#### 66.1.26.25.10 MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>

*Presence:* [0..1]

*Definition:* Indicates there have been multiple pension commencement lump sum (PCLS) payments.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.25.11 LifetimeAllowance <LftmAllwnc>

*Presence:* [0..1]

*Definition:* Percentage of the lifetime allowance (LTA) used.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.26.25.12 RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>

*Presence:* [0..1]

*Definition:* Indicates a person other than the original pension holder is the receiver of the drawdown payment.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.26.25.13 BeneficiaryDetails <BnfcryDtls>***Presence:* [0..1]*Definition:* Information about the recipient of the drawdown, when not the original pension holder.**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "**BeneficiaryDrawdown1**" on page 1761 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			1761
{Or	Code <Cd>	[1..1]	CodeSet		1761
Or}	Proprietary <Prtry>	[1..1]	±		1761
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		1762
	AdditionalInformation <AddtlInf>	[0..*]	±		1762

**66.1.26.25.14 CappedLimits <CapdLmts>***Presence:* [0..1]*Definition:* Limits of the capped drawdown.**CappedLimits <CapdLmts>** contains the following **Capped1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[0..1]	Date		1818
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C1	1818
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C1	1819
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C1	1819
	AdditionalInformation <AddtlInf>	[0..*]	±		1819

**66.1.26.25.14.1 StartDate <StartDt>***Presence:* [0..1]*Definition:* Start date of current reference period*Datatype:* "ISODate" on page 2822**66.1.26.25.14.2 IncomeLimitCurrentPeriod <IncmLmtCurPrd>***Presence:* [0..1]*Definition:* Income limit for the current period.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**66.1.26.25.14.3 IncomeCurrentPeriod <IncmCurPrd>**

*Presence:* [0..1]

*Definition:* Income taken in the current income year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**66.1.26.25.14.4 IncomeLimitNextPeriod <IncmLmtNxtPrd>**

*Presence:* [0..1]

*Definition:* Income limit for the next income year.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**66.1.26.25.14.5 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the cap.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.25.15 FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>***Presence:* [0..1]*Definition:* Date on which the drawdown was triggered when the drawdown type is flexible.*Datatype:* "ISODate" on page 2822**66.1.26.25.16 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the drawdown.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.26 AdditionalAmount1Choice***Definition:* Choice between additional cash in or resulting cash out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C2, C10	1820
Or}	ResultingCashOut <RsltCshOut>	[1..1]	Amount	C2, C10	1820

**66.1.26.26.1 AdditionalCashIn <AddtlCshIn>***Presence:* [1..1]*Definition:* Additional amount of money paid by the investor in addition to the switch redemption amount.*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705**Constraints**

- ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.26.26.2 ResultingCashOut <RsltCshOut>***Presence:* [1..1]



*Definition:* Amount of money that results from a switch-out, that is not reinvested in another investment fund, and is repaid to the investor.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

### 66.1.26.27 Equalisation1

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1821
	Rate <Rate>	[0..1]	Rate		1821

#### 66.1.26.27.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the equalisation.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.26.27.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used for calculation of the equalisation.

*Datatype:* "PercentageRate" on page 2835

## 66.1.26.28 Conversion1

*Definition:* Identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1822
	Identification <Id>	[1..1]	±		1822
	Name <Nm>	[0..1]	Text		1823
	ShortName <ShrtNm>	[0..1]	Text		1823
	AdditionalInformation <AddtlInf>	[0..*]	±		1823

### 66.1.26.28.1 TargetSecurity <TrgtScty>

*Presence:* [1..1]

*Definition:* Identification of the target security.

*Impacted by:* C27 "IdentificationGuideline"

**TargetSecurity <TrgtScty>** contains the following **FinancialInstrumentIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1822
	Name <Nm>	[0..1]	Text		1823
	ShortName <ShrtNm>	[0..1]	Text		1823

#### Constraints

- **IdentificationGuideline**

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

#### 66.1.26.28.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.26.28.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.28.1.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.28.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the conversion.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 66.1.26.29 InvestmentPlanCharacteristics1

*Definition:* Characteristics of an investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			1824
{Or	Code <Cd>	[1..1]	CodeSet		1824
Or}	Proprietary <Prtry>	[1..1]	±		1825
	Frequency <Frqcy>	[0..1]	±		1825
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1825
	Quantity <Qty>	[0..1]	±		1825
	PlanContinuation <PlanConttn>	[0..1]	Indicator		1826
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		1826
	AdditionalSubscriptionFunction <AddtlSbcptFctn>	[0..1]	Indicator		1826
	AdditionalInformation <AddtlInf>	[0..*]	±		1826

#### Constraints

- **InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

#### 66.1.26.29.1 PlanType <PlanTp>

*Presence:* [1..1]

*Definition:* Type of investment plan.

**PlanType <PlanTp>** contains one of the following **InvestmentFundPlanType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1824
Or}	Proprietary <Prtry>	[1..1]	±		1825

##### 66.1.26.29.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of investment fund plan expressed as a code.

*Datatype:* "InvestmentFundPlanType1Code" on page 2752

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

#### 66.1.26.29.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of investment fund plan expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.26.29.2 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the investment plan.

**Frequency <Frqcy>** contains one of the following elements (see "Frequency20Choice" on page 1558 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1558
Or}	Proprietary <Prtry>	[1..1]	±		1559

#### 66.1.26.29.3 TotalNumberOfInstalments <TtINbOfInstlmts>

*Presence:* [0..1]

*Definition:* Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

*Datatype:* "Number" on page 2834

#### 66.1.26.29.4 Quantity <Qty>

*Presence:* [0..1]

*Definition:* Minimum amount of the periodical payments. (If there is no maximum, then '0' must be specified for the Amount or Units.)

**Quantity <Qty>** contains one of the following elements (see ["UnitsOrAmount1Choice"](#) on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2400
Or}	Unit <Unit>	[1..1]	Quantity		2400

#### 66.1.26.29.5 PlanContinuation <PlanConttn>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to continue the savings plan after the end date.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.26.29.6 AdditionalSubscription <AddtlSbcpt>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to subscribe to additional instalments over and above that permitted by the savings plan frequency.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.26.29.7 AdditionalSubscriptionFunction <AddtlSbcptFctn>

*Presence:* [0..1]

*Definition:* Indicates whether any additional instalments will reduce the period of the life of the savings investment plan.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.26.29.8 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the investment plan.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.30 InvestmentFundRole2Choice**

*Definition:* Choice of formats for a Role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1827
Or}	Proprietary <Prtry>	[1..1]	±		1828

**66.1.26.30.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "InvestmentFundRole2Code" on page 2752

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the

CodeName	Name	Definition
		transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

#### 66.1.26.30.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.26.31 LumpSumType1Choice

*Definition:* Choice of formats for a type of lump sum.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1828
Or}	Proprietary <Prtry>	[1..1]	±		1829

##### 66.1.26.31.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of lump sum expressed as a code.

*Datatype:* "[LumpSumType1Code](#)" on page 2763

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.



**66.1.26.31.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of lump sum expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.26.32 HoldBackInformation2***Definition:* Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1829
	Amount <Amt>	[0..1]	Amount	C1, C13	1829
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1830
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1830
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1831
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1831
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1832

**66.1.26.32.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of gating or a hold back.*Datatype:* "[GateHoldBack1Code](#)" on page 2741

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

**66.1.26.32.2 Amount <Amt>***Presence:* [0..1]*Definition:* Value of the redemption amount subject to gating or a hold back.*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)*Datatype:* "[ActiveCurrencyAndAmount](#)" on page 2704

**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.

**66.1.26.32.3 ExpectedReleaseDate <XpctdRlsDt>**

*Presence:* [0..1]

*Definition:* Date on which the gated amount or hold back amount is expected to be released.

*Datatype:* "ISODate" on page 2822

**66.1.26.32.4 FinancialInstrumentIdentification <FinInstrmId>**

*Presence:* [0..1]

*Definition:* New identification of the security.

**FinancialInstrumentIdentification <FinInstrmId>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1522
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1522
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1522
Or	RIC <RIC>	[1..1]	IdentifierSet		1523
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1523
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1523
Or	CTA <CTA>	[1..1]	IdentifierSet		1523
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1523
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1523
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1524
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1524
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1524
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1524
Or	Common <Cmon>	[1..1]	IdentifierSet		1524
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1524
	Identification <Id>	[1..1]	Text		1524
	IdentificationSource <IdSrc>	[1..1]	±		1525

#### 66.1.26.32.5 FinancialInstrumentName <FinInstrmNm>

*Presence:* [0..1]

*Definition:* New name of the security.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.32.6 RedemptionCompletion <RedCmpltn>

*Presence:* [0..1]

*Definition:* Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.

*Datatype:* "RedemptionCompletion1Code" on page 2780

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.

CodeName	Name	Definition
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

#### 66.1.26.32.7 FinalConfirmation <FnlConf>

*Presence:* [0..1]

*Definition:* Indicates whether or not this is the final redemption confirmation in the execution of a gated redemption.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.26.33 DistributionStrategy1Choice

*Definition:* Choice of formats for the specification of a distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1832
Or}	Proprietary <Prtry>	[1..1]	±		1832

##### 66.1.26.33.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Distribution strategy expressed as a code.

*Datatype:* "[InvestorType3Code](#)" on page 2761

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

##### 66.1.26.33.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Distribution strategy expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.26.34 OrderWaiver1

*Definition:* Information about how an order is to be processed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1833
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834
	InformationValue <InfVal>	[0..1]	Text		1834

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 66.1.26.34.1 OrderWaiverReason <OrdWvrRsn>

*Presence:* [0..\*]

*Definition:* Reason why the order has to be handled differently, probably in a manual fashion, because, for example, the investment manager has agreed a waiver to the terms.

**OrderWaiverReason <OrdWvrRsn>** contains one of the following **OrderWaiverReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1833
Or}	Proprietary <Prtry>	[1..1]	±		1834

##### 66.1.26.34.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the waiver expressed as a code.

*Datatype:* "[OrderWaiverReason1Code](#)" on page 2768

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.

CodeName	Name	Definition
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

#### 66.1.26.34.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the waiver expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.26.34.2 InformationValue <InfVal>

*Presence:* [0..1]

*Definition:* Additional information about the order waiver.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.26.35 MainFundOrderDeskLocation1

*Definition:* U-003-2009 Addition and Modification of choice component. S-009-2009 They are not valid business options in the redemption processing context. S-015-2009 Add new data elements to indicate time zone.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1834
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1835
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

#### 66.1.26.35.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which it is authorised to commercialise the fund.

*Impacted by:* [C12 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2726

**Constraints**

- **Country**

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

**66.1.26.35.2 TimeZoneOffset <TmZoneOffset>**

*Presence:* [1..1]

*Definition:* Offset of the reporting time before or after 00: 00 hour UTC.

**TimeZoneOffset <TmZoneOffset>** contains the following **UTCOffset1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

**66.1.26.35.2.1 Sign <Sgn>**

*Presence:* [1..1]

*Definition:* Indicates whether the offset is before or after 00: 00 hour UTC.

*Datatype:* One of the following values must be used (see ["PlusOrMinusIndicator"](#) on page 2834):

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

**66.1.26.35.2.2 NumberOfHours <NbOfHrs>**

*Presence:* [1..1]

*Definition:* Offset of the reporting time, in hours, before or after 00: 00 hour UTC.

*Datatype:* ["ISOTime"](#) on page 2839

**66.1.26.36 ProcessingCharacteristics12**

*Definition:* Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1836
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1837
	ApplicationForm <ApplForm>	[1..1]	Indicator		1837
	SignatureType <SgntrTp>	[1..1]	CodeSet		1837
	AmountIndicator <AmtInd>	[0..1]	Indicator		1838
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1838
	Rounding <Rndg>	[0..1]	CodeSet		1838
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1838
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1838
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1839
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1839
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1839
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1840
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1840
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C35	1840
	LimitedPeriod <LtdPrd>	[0..1]	Text		1841
	SettlementCycle <SttlmCycl>	[0..1]			1841
{Or	TradePlus <TPlus>	[1..1]	Quantity		1841
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1842
	AdditionalInformation <AddtlInf>	[0..*]	±		1842

### Constraints

#### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

### 66.1.26.36.1 DealingCurrencyAccepted <DealgCcyAccptd>

*Presence:* [0..\*]

*Definition:* Currency in which a redemption is accepted.



*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 66.1.26.36.2 RedemptionAuthorisation <RedAuthstn>

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for a redemption.

**RedemptionAuthorisation <RedAuthstn>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1837
	SignatureType <SgntrTp>	[1..1]	CodeSet		1837

#### 66.1.26.36.2.1 ApplicationForm <ApplForm>

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.36.2.2 SignatureType <SgntrTp>

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2797

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

**66.1.26.36.3 AmountIndicator <AmtInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed by amount.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.36.4 UnitsIndicator <UnitsInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed as a number of units.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.36.5 Rounding <Rndg>***Presence:* [0..1]*Definition:* Indicates the rounding direction applied to nearest unit.*Datatype:* ["RoundingDirection2Code" on page 2792](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**66.1.26.36.6 PercentageIndicator <PctgInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed as a percentage of holding.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.36.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>***Presence:* [0..1]*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see "MainFundOrderDeskLocation1" on page 1834 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1834
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1835
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

#### 66.1.26.36.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the redemptions are done.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.26.36.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the redemption is done.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.36.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to redeem can be given.

*Datatype:* "ISOTime" on page 2839

**66.1.26.36.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>***Presence:* [0..1]*Definition:* Dealing cut-off timeframe.*Impacted by:* C23 "NonWorkingDayAdjustmentRule", C33 "TradeMinusRule"**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see "TimeFrame9" on page 1446 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1446
	TradeMinus <TMns>	[0..1]	Quantity		1446
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1447
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1447

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**66.1.26.36.12 DealConfirmationTime <DealConfTm>***Presence:* [0..1]*Definition:* Time at which the deal confirmation is issued.*Datatype:* "ISOTime" on page 2839**66.1.26.36.13 DealConfirmationTimeFrame <DealConfTmFrame>***Presence:* [0..1]*Definition:* Time frame within which the deal confirmation is issued.*Impacted by:* C25 "NonWorkingDayAdjustmentRule", C35 "TradePlusRule"

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame10" on page 1449 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1449
	TradePlus <TPlus>	[0..1]	Quantity		1450
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1450
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1450

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 66.1.26.36.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.36.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1841
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1842

##### 66.1.26.36.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2834

**66.1.26.36.15.2 RenunciationPlus <RPlus>***Presence:* [1..1]*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.*Datatype:* "Number" on page 2834**66.1.26.36.16 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the redemption processing characteristics.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.37 DrawdownType2Choice***Definition:* Choice of formats for a type of drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1842
Or}	Proprietary <Prtry>	[1..1]	±		1842

**66.1.26.37.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of drawdown expressed as a code.*Datatype:* "DrawdownType2Code" on page 2731

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

**66.1.26.37.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of drawdown expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

### 66.1.26.38 InvestmentPlan17

*Definition:* Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1844
	StartDate <StartDt>	[0..1]	Date		1844
	EndDate <EndDt>	[0..1]	Date		1844
	Quantity <Qty>	[1..1]	±		1844
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1844
	IncomePreference <IncmPref>	[0..1]	CodeSet		1845
	InitialAmount <InitlAmt>	[0..1]	±		1845
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1845
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1845
	SecurityDetails <SctyDtls>	[1..50]			1846
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847
	CashSettlement <CshSttlm>	[0..8]	±		1848
	ContractReference <CtrctRef>	[0..1]	Text		1848
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1849
	ProductIdentification <PdctId>	[0..1]	Text		1849
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1849
	InsuranceCover <InsrncCover>	[0..1]	±		1849
	PlanStatus <PlanSts>	[0..1]	±		1849
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1850

**Constraints**

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

**66.1.26.38.1 Frequency <Frqcy>**

*Presence:* [1..1]

*Definition:* Frequency of the investment or divestment.

**Frequency <Frqcy>** contains one of the following elements (see "[Frequency20Choice](#)" on page 1558 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1558
Or}	Proprietary <Prtry>	[1..1]	±		1559

**66.1.26.38.2 StartDate <StartDt>**

*Presence:* [0..1]

*Definition:* Date the investment plan starts.

*Datatype:* "[ISODate](#)" on page 2822

**66.1.26.38.3 EndDate <EndDt>**

*Presence:* [0..1]

*Definition:* Date the investment plan stops.

*Datatype:* "[ISODate](#)" on page 2822

**66.1.26.38.4 Quantity <Qty>**

*Presence:* [1..1]

*Definition:* Amount of the periodical payments.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmount1Choice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2400
Or}	Unit <Unit>	[1..1]	Quantity		2400

**66.1.26.38.5 GrossAmountIndicator <GrssAmtInd>**

*Presence:* [0..1]



**Definition:** Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.26.38.6 IncomePreference <IncMPref>

**Presence:** [0..1]

**Definition:** Dividend option chosen by the account owner based on the options offered in the prospectus.

**Datatype:** ["IncomePreference2Code"](#) on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.26.38.7 InitialAmount <InitIAmt>

**Presence:** [0..1]

**Definition:** Initial amount or number of initial instalments.

**InitialAmount <InitIAmt>** contains one of the following elements (see ["InitialAmount1Choice"](#) on page 1305 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitINbOfInstlmts>	[1..1]	Quantity		1305
Or}	Amount <Amt>	[1..1]	Amount	C1, C13	1305

#### 66.1.26.38.8 TotalNumberOfInstalments <TtINbOfInstlmts>

**Presence:** [0..1]

**Definition:** Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

**Datatype:** ["Number"](#) on page 2834

#### 66.1.26.38.9 RoundingDirection <RndgDrctn>

**Presence:** [0..1]

**Definition:** Indicates the rounding direction when an amount is to be spread over several funds.

**Datatype:** ["RoundingDirection1Code"](#) on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

CodeName	Name	Definition
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

#### 66.1.26.38.10 SecurityDetails <SctyDtls>

*Presence:* [1..50]

*Definition:* Security that an investment plan invests in, or from which the investment plan divests.

**SecurityDetails <SctyDtls>** contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1846
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1846
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C2	1847

#### 66.1.26.38.10.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Amount, units or percentage of financial instrument invested or withdrawn.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmountOrPercentage1Choice](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2401
Or	Unit <Unit>	[1..1]	Quantity		2402
Or}	Percentage <Pctg>	[1..1]	Rate		2402

#### 66.1.26.38.10.2 FinancialInstrument <FinInstrm>

*Presence:* [1..1]

*Definition:* Detailed information about the security or investment fund.

*Impacted by:* [C20 "IdentificationGuideline"](#)

**FinancialInstrument <FinInstrm>** contains the following elements (see "FinancialInstrument87" on page 1484 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1484
	Name <Nm>	[0..1]	Text		1485
	ShortName <ShrtNm>	[0..1]	Text		1485
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1485
	ClassType <ClsTp>	[0..1]	Text		1486
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1486
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1486
	ProductGroup <PdctGrp>	[0..1]	Text		1486
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1486
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1487
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1487
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1488
	Pledging <Pldgg>	[0..1]	CodeSet		1488
	Collateral <Coll>	[0..1]	CodeSet		1488
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1488
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1489
	FundIntention <FndIntntn>	[0..1]	CodeSet		1489
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1489

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.26.38.10.3 CurrencyOfPlan <CcyOfPlan>

*Presence:* [0..1]

*Definition:* When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.26.38.11 CashSettlement <CshSttlm>**

*Presence:* [0..8]

*Definition:* Cash settlement standing instruction associated to the investment plan.

**CashSettlement <CshSttlm>** contains the following elements (see "[CashSettlement3](#)" on page 2462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2463
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2464
	Identification <Id>	[1..1]	±		2464
	AccountOwner <AcctOwnr>	[0..1]	±		2465
	AccountServicer <AcctSvcr>	[0..1]	±		2465
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2465
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2466
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2466
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2466
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2467
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountPurpose <CshAcctPurp>	[0..1]			2468
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2469
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469
	DividendPercentage <DvddPctg>	[0..1]	Rate		2469
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2470

**66.1.26.38.12 ContractReference <CtrctRef>**

*Presence:* [0..1]

*Definition:* Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.38.13 RelatedContractReference <RltdCtrctRef>

*Presence:* [0..1]

*Definition:* Reference of the previous contract to which this savings or withdrawal plan is related.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.38.14 ProductIdentification <PdctId>

*Presence:* [0..1]

*Definition:* Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.38.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>

*Presence:* [0..1]

*Definition:* Reference of the underlying service level agreement (SLA) governing fees.

*Datatype:* "Max35Text" on page 2837

#### 66.1.26.38.16 InsuranceCover <InsrncCover>

*Presence:* [0..1]

*Definition:* Specifies the type of insurance contract to which the savings investment plan is linked.

**InsuranceCover <InsrncCover>** contains one of the following elements (see "InsuranceType2Choice" on page 1916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1917
Or}	Proprietary <Prtry>	[1..1]	±		1917

#### 66.1.26.38.17 PlanStatus <PlanSts>

*Presence:* [0..1]

*Definition:* Status of the savings or withdrawal investment plan.

**PlanStatus <PlanSts>** contains one of the following elements (see "PlanStatus2Choice" on page 2543 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2543
Or}	Proprietary <Prtry>	[1..1]	±		2543

**66.1.26.38.18 InstalmentManagerRole <InstlmtMgrRole>***Presence:* [0..1]*Definition:* Role or function of the instalment manager.

**InstalmentManagerRole <InstlmtMgrRole>** contains one of the following elements (see "PartyRole4Choice" on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2024
Or}	Proprietary <Prtry>	[1..1]	±		2026

**66.1.26.39 BenefitCrystallisationEvent2***Definition:* Information about the realisation of benefits taken from a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeName <EvtTpNb>	[0..1]	Text		1850
	EventTypeName <EvtTpNm>	[0..1]	Text		1850
	EventDate <EvtDt>	[0..1]	Date		1850
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C1	1851
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		1851
	LifetimeAllowanceProtection <LftmAllwncPrtn>	[0..1]	Indicator		1851
	AdditionalInformation <AddtlInf>	[0..*]	±		1851

**66.1.26.39.1 EventTypeNumber <EvtTpNb>***Presence:* [0..1]

*Definition:* Number of the crystallisation event. In the UK market this could be, for example, BCE5, BE5A or BCE5B.

*Datatype:* "Max35Text" on page 2837**66.1.26.39.2 EventTypeName <EvtTpNm>***Presence:* [0..1]

*Definition:* Name of the crystallisation event. In the UK market this could be, for example, 'entitlement to scheme pension'.

*Datatype:* "Max35Text" on page 2837**66.1.26.39.3 EventDate <EvtDt>***Presence:* [0..1]*Definition:* Date on which the crystallisation event was triggered.*Datatype:* "ISODate" on page 2822

**66.1.26.39.4 CrystallisationAmount <CrstllstnAmt>***Presence:* [0..1]*Definition:* Amount of the crystallisation event.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704**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.

**66.1.26.39.5 PercentageOfAllowance <PctgOfAllwnc>***Presence:* [0..1]*Definition:* Percentage of allowance used for the benefit crystallisation event.*Datatype:* "PercentageRate" on page 2835**66.1.26.39.6 LifetimeAllowanceProtection <LftmAllwncPrtn>***Presence:* [0..1]*Definition:* Indicates whether lifetime allowance protection impacts the benefit crystallisation event.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.26.39.7 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the benefit crystallisation event.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.40 ProcessingCharacteristics10**

*Definition:* Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C1	1852
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1853
	ApplicationForm <ApplForm>	[1..1]	Indicator		1853
	SignatureType <SgntrTp>	[1..1]	CodeSet		1853
	AmountIndicator <AmtInd>	[0..1]	Indicator		1854
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1854
	Rounding <Rndg>	[0..1]	CodeSet		1854
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1854
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1854
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1855
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1855
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1855
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C23, C33	1856
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1856
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C26, C36	1856
	LimitedPeriod <LtdPrd>	[0..1]	Text		1857
	SettlementCycle <SttlmCycl>	[0..1]			1857
{Or	TradePlus <TPlus>	[1..1]	Quantity		1857
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1858
	AdditionalInformation <AddtlInf>	[0..*]	±		1858

### Constraints

#### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

### 66.1.26.40.1 DealingCurrencyAccepted <DealgCcyAccptd>

*Presence:* [0..\*]

*Definition:* Currency in which a redemption is accepted.



*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 66.1.26.40.2 RedemptionAuthorisation <RedAuthstn>

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for a redemption.

**RedemptionAuthorisation <RedAuthstn>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1853
	SignatureType <SgntrTp>	[1..1]	CodeSet		1853

#### 66.1.26.40.2.1 ApplicationForm <ApplForm>

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.26.40.2.2 SignatureType <SgntrTp>

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2797

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

**66.1.26.40.3 AmountIndicator <AmtInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed by amount.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.40.4 UnitsIndicator <UnitsInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed as a number of units.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.40.5 Rounding <Rndg>***Presence:* [0..1]*Definition:* Indicates the rounding direction applied to nearest unit.*Datatype:* ["RoundingDirection2Code" on page 2792](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**66.1.26.40.6 PercentageIndicator <PctgInd>***Presence:* [0..1]*Definition:* Indicates whether a redemption can be instructed as a percentage of holding.*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.26.40.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>***Presence:* [0..1]*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see "MainFundOrderDeskLocation1" on page 1834 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1834
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1835
	Sign <Sgn>	[1..1]	Indicator		1835
	NumberOfHours <NbOfHrs>	[1..1]	Time		1835

#### 66.1.26.40.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the redemptions are done.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 66.1.26.40.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the redemption is done.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.40.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to redeem can be given.

*Datatype:* "ISOTime" on page 2839

**66.1.26.40.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>***Presence:* [0..1]*Definition:* Dealing cut-off timeframe.*Impacted by:* C23 "NonWorkingDayAdjustmentRule", C33 "TradeMinusRule"**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see "TimeFrame9" on page 1446 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1446
	TradeMinus <TMns>	[0..1]	Quantity		1446
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1447
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1447

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**66.1.26.40.12 DealConfirmationTime <DealConfTm>***Presence:* [0..1]*Definition:* Time at which the deal confirmation is issued.*Datatype:* "ISOTime" on page 2839**66.1.26.40.13 DealConfirmationTimeFrame <DealConfTmFrame>***Presence:* [0..1]*Definition:* Time frame within which the deal confirmation is issued.*Impacted by:* C26 "NonWorkingDayAdjustmentRule", C36 "TradePlusRule"

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame8" on page 1447 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1448
	TradePlus <TPlus>	[0..1]	Quantity		1448
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1448
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1448

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 66.1.26.40.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

*Datatype:* "Max350Text" on page 2837

#### 66.1.26.40.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1857
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1858

#### 66.1.26.40.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2834

**66.1.26.40.15.2 RenunciationPlus <RPlus>***Presence:* [1..1]*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.*Datatype:* "Number" on page 2834**66.1.26.40.16 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the redemption processing characteristics.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.26.41 PensionTransferScope1Choice***Definition:* Choice of formats for the scope of a pension transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

**66.1.26.41.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of pension policy, plan or scheme transfer scope expressed as a code.*Datatype:* "PensionTransferScope1Code" on page 2775

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

**66.1.26.41.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of pension policy, plan or scheme transfer scope expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

## 66.1.27 Market

### 66.1.27.1 OtherTargetMarketLossBearing1

*Definition:* Loss bearing target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AbiltyToBearLossesTp>	[0..1]	Text		1859
	Target <Trgt>	[0..1]			1859
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860
	AdditionalInformation <AddtlInf>	[0..1]	±		1860

#### 66.1.27.1.1 AbilityToBearLossesType <AbiltyToBearLossesTp>

*Presence:* [0..1]

*Definition:* Type of loss bearing.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.27.1.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of loss bearing.

**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860

#### 66.1.27.1.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a code.

*Datatype:* "[TargetMarket1Code](#)" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 66.1.27.1.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.27.1.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor's loss bearing.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.27.2 PlaceOfTradeIdentification4Choice

*Definition:* Context, or geographic environment, in which trading parties may meet in order to negotiate and execute trades among themselves.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1860
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1861
Or	Party <Pty>	[1..1]	IdentifierSet	C4	1861
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1861

##### 66.1.27.2.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which the transaction is executed.



*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

### 66.1.27.2.2 Exchange <Xchg>

*Presence:* [1..1]

*Definition:* Exchange at which the transaction is executed.

*Datatype:* "MICIdentifier" on page 2830

### 66.1.27.2.3 Party <Pty>

*Presence:* [1..1]

*Definition:* Party's location at which the transaction is executed.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

#### 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.

### 66.1.27.2.4 OverTheCounter <OverTheCntr>

*Presence:* [1..1]

*Definition:* Place at which the Over-the-Counter (OTC) transaction is executed.

*Datatype:* "Max35Text" on page 2837

### 66.1.27.3 TargetMarket5Choice

*Definition:* Choice of formats for the specification of how a financial product is in scope of a target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1861
Or}	Other <Othr>	[1..1]	CodeSet		1862

#### 66.1.27.3.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies how the financial product is in scope of the target market parameter.

*Datatype:* "InvestorType4Code" on page 2762

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

#### 66.1.27.3.2 Other <Othr>

*Presence:* [1..1]

*Definition:* Specifies whether the financial product is in scope of the target market parameter.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 66.1.27.4 PlaceOfTradeIdentification1Choice

*Definition:* Context, or geographic environment, in which trading parties may meet in order to negotiate and execute trades among themselves.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C12	1862
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1863
Or	Party <Pty>	[1..1]	IdentifierSet	C5	1863
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1863

##### 66.1.27.4.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which the transaction is executed.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.27.4.2 Exchange <Xchg>**

*Presence:* [1..1]

*Definition:* Exchange at which the transaction is executed.

*Datatype:* "MICIdentifier" on page 2830

**66.1.27.4.3 Party <Pty>**

*Presence:* [1..1]

*Definition:* Party's location at which the transaction is executed.

*Impacted by:* C5 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2823

**Constraints**

- **AnyBIC**

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

**66.1.27.4.4 OverTheCounter <OverTheCntr>**

*Presence:* [1..1]

*Definition:* Place at which the Over-the-Counter (OTC) transaction is executed.

*Datatype:* "Max35Text" on page 2837

**66.1.27.5 OtherTargetMarketRiskTolerance1**

*Definition:* Risk tolerance target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		1863
	Target <Trgt>	[0..1]			1864
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1864
	AdditionalInformation <AddtlInf>	[0..1]	±		1864

**66.1.27.5.1 RiskToleranceType <RskTlrnceTp>**

*Presence:* [0..1]

*Definition:* Type of risk tolerance.

*Datatype:* "Max35Text" on page 2837

**66.1.27.5.2 Target <Trgt>***Presence:* [0..1]*Definition:* Choice of formats for the specification of whether the product is aimed at the type of risk tolerance.**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1864

**66.1.27.5.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a code.*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**66.1.27.5.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.27.5.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the target market and the investor's risk tolerance.**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

### 66.1.27.6 OtherTargetMarketInvestor1

*Definition:* Investor type target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		1865
	Target <Trgt>	[0..1]			1865
{Or	Type <Tp>	[1..1]	CodeSet		1865
Or	Other <Othr>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1866
	AdditionalInformation <AddtlInf>	[0..1]	±		1866

#### 66.1.27.6.1 InvestorType <InvstrTp>

*Presence:* [0..1]

*Definition:* Type of investor.

*Datatype:* "Max35Text" on page 2837

#### 66.1.27.6.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of investor.

**Target <Trgt>** contains one of the following **TargetMarket3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1865
Or	Other <Othr>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1866

#### 66.1.27.6.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies how a financial product is in scope of the target market parameter.

*Datatype:* "InvestorType2Code" on page 2761

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

#### 66.1.27.6.2.2 Other <Othr>

*Presence:* [1..1]

*Definition:* Specifies whether a financial product is in scope of the target market parameter.

*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 66.1.27.6.2.3 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.27.6.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor type.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.27.7 OtherTargetMarketInvestorKnowledge1

*Definition:* Investor knowledge and experience target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		1867
	Target <Trgt>	[0..1]			1867
{Or	Code <Cd>	[1..1]	CodeSet		1867
Or}	Proprietary <Prtry>	[1..1]	±		1867
	AdditionalInformation <AddtlInf>	[0..1]	±		1867

**66.1.27.7.1 InvestorKnowledgeType <InvstrKnwldgTp>***Presence:* [0..1]*Definition:* Type of investor knowledge and experience.*Datatype:* "Max35Text" on page 2837**66.1.27.7.2 Target <Trgt>***Presence:* [0..1]*Definition:* Choice of formats for the specification of whether the product is aimed at the type of knowledge or experience of the investor.**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1867
Or}	Proprietary <Prtry>	[1..1]	±		1867

**66.1.27.7.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a code.*Datatype:* "TargetMarket1Code" on page 2799

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**66.1.27.7.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.27.7.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the target market and the investor knowledge and experience.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

## 66.1.28 Miscellaneous

### 66.1.28.1 MiFIDClassification1

*Definition:* Details about the MiFID classification of the account owner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1868
	Narrative <Nrrtv>	[0..1]	Text		1868

#### 66.1.28.1.1 Classification <Clssfctn>

*Presence:* [1..1]

*Definition:* MiFID classification of the account owner.

*Datatype:* "[OrderOriginatorEligibility1Code](#)" on page 2766

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

#### 66.1.28.1.2 Narrative <Nrrtv>

*Presence:* [0..1]

*Definition:* Additional information about the source of classification.

*Datatype:* "[Max350Text](#)" on page 2837

### 66.1.28.2 ClassificationType32Choice

*Definition:* Choice of format for the classification.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1869
Or}	AlternateClassification <AltrnCllsfctn>	[1..1]	±		1869

#### 66.1.28.2.1 ClassificationFinancialInstrument <ClssfctnFinInstrm>

*Presence:* [1..1]

*Definition:* ISO 10962 Classification of Financial Instrument (CFI).

*Datatype:* "CFIOct2015Identifier" on page 2825

#### 66.1.28.2.2 AlternateClassification <AltrnCllsfctn>

*Presence:* [1..1]

*Definition:* Proprietary classification of financial instrument.

**AlternateClassification <AltrnCllsfctn>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.28.3 CopyInformation5

*Definition:* Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1869
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C4	1869

##### 66.1.28.3.1 CopyIndicator <CpyInd>

*Presence:* [1..1]

*Definition:* Indicates whether the message is a copy.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

##### 66.1.28.3.2 OriginalReceiver <OrgnlRcvr>

*Presence:* [0..1]

*Definition:* Original receiver of the message, if this message is a copy.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

#### 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.

### 66.1.28.4 PreviousYear2Choice

*Definition:* Choice between selected investment plans issued during previous years or all investment plans.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1870
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1870

#### Constraints

- **SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

#### 66.1.28.4.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.

*Datatype:* "PreviousAll" on page 2839

#### 66.1.28.4.2 SpecificPreviousYears <SpcfcPrvsYrs>

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2839

### 66.1.28.5 MarketPracticeVersion1

*Definition:* Identifies the implementation and version.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1870
	Date <Dt>	[0..1]	YearMonth		1871
	Number <Nb>	[0..1]	Text		1871

#### 66.1.28.5.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Market practice, for example, "UKTRANSFERS", "FINDELSLT".

*Datatype:* "Max35Text" on page 2837

#### 66.1.28.5.2 Date <Dt>

*Presence:* [0..1]

*Definition:* Year and month, for example, 2013-06.

*Datatype:* "ISOYearMonth" on page 2839

#### 66.1.28.5.3 Number <Nb>

*Presence:* [0..1]

*Definition:* Version of the market practice.

*Datatype:* "Max35Text" on page 2837

### 66.1.28.6 NewIssueAllocation2

*Definition:* Information about the investment account ownership with respect to new issue allocation for a hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1871
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1871
	DeMinimus <DeMnms>	[0..1]	±		1871

#### 66.1.28.6.1 Restricted <Rstrctd>

*Presence:* [1..1]

*Definition:* Indicates whether the investor is eligible to participate in the profits and losses from a new issue.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.28.6.2 ExemptPersonReason <XmptPrsnRsn>

*Presence:* [0..1]

*Definition:* Reason for exemption.

*Datatype:* "Max350Text" on page 2837

#### 66.1.28.6.3 DeMinimus <DeMnms>

*Presence:* [0..1]

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

**DeMinimus <DeMnms>** contains one of the following elements (see "[DeMinimus1Choice](#)" on page 1451 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsApbl>	[1..1]	±		1452
Or}	DeMinimusNotApplicable <DeMnmsNotApbl>	[1..1]	±		1452

### 66.1.28.7 FundCashInBreakdown3

*Definition:* Breakdown of cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1872
	UnitsNumber <UnitsNb>	[0..1]	±		1873
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1873
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1873
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1874
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874
	ChargeDetails <ChrgDtls>	[0..*]	±		1875
	CommissionDetails <ComssnDtls>	[0..*]	±		1875
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1875

#### 66.1.28.7.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of cash flow in, expressed as an amount of money.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.7.2 UnitsNumber <UnitsNb>

*Presence:* [0..1]

*Definition:* Amount of the cash flow in, expressed as a number of units.

**UnitsNumber <UnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.7.3 NewAmountIndicator <NewAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.28.7.4 InvestmentFundTransactionInType <InvstmtFndTxInTp>

*Presence:* [1..1]

*Definition:* Type of transaction that resulted in the cash-in movement, for example, subscription, switch-in.

**InvestmentFundTransactionInType <InvstmtFndTxInTp>** contains one of the following **InvestmentFundTransactionInType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874

##### 66.1.28.7.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[InvestmentFundTransactionInType1Code](#)" on page 2758

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.

CodeName	Name	Definition
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

#### 66.1.28.7.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.7.5 OriginalOrderQuantityType <OrgnlOrdQtyTp>

*Presence:* [1..1]

*Definition:* Specifies how the original order was expressed that resulted in the cash-in movement, that is cash or units.

**OriginalOrderQuantityType <OrgnlOrdQtyTp>** contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874

#### 66.1.28.7.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a code.

*Datatype:* "[OrderQuantityType2Code](#)" on page 2767

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

#### 66.1.28.7.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.7.6 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Charge for the placement of an order.

**ChargeDetails <ChrgDtls>** contains the following elements (see "[Charge26](#)" on page 1411 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1411
{Or	Code <Cd>	[1..1]	CodeSet		1411
Or}	Proprietary <Prtry>	[1..1]	±		1412
	ChargeApplied <ChrgApld>	[1..1]			1412
{Or	Amount <Amt>	[1..1]	Amount	C1	1412
Or}	Rate <Rate>	[1..1]	Rate		1413

#### 66.1.28.7.7 CommissionDetails <ComssnDtls>

*Presence:* [0..\*]

*Definition:* Information related to the commission applied to an order, for example, back-end or front-end commission.

**CommissionDetails <ComssnDtls>** contains the following elements (see "[Commission21](#)" on page 1438 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1438
{Or	Code <Cd>	[1..1]	CodeSet		1439
Or}	Proprietary <Prtry>	[1..1]	±		1439
	CommissionApplied <ComssnApld>	[1..1]			1439
{Or	Amount <Amt>	[1..1]	Amount	C1	1440
Or}	Rate <Rate>	[1..1]	Rate		1440

#### 66.1.28.7.8 SettlementCurrency <SttlmCcy>

*Presence:* [0..1]

*Definition:* Settlement currency for the transaction.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

### 66.1.28.8 TransactionChannelType1Choice

*Definition:* Choice of formats for the specification of the type of transaction Channel.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1876
Or}	Proprietary <Prtry>	[1..1]	±		1876

#### 66.1.28.8.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of transaction channel expressed as a code.

*Datatype:* "TransactionChannel2Code" on page 2812

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.
BRAN	OfficeOrBranch	Office or branch.

#### 66.1.28.8.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of transaction channel expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.9 LetterIntent1

*Definition:* Specifies information about the letter of intent.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LttrInttRef>	[1..1]	Text		1877
	Amount <Amt>	[0..1]	Amount	C1	1877
	StartDate <StartDt>	[0..1]	Date		1877
	EndDate <EndDt>	[0..1]	Date		1877

#### 66.1.28.9.1 LetterIntentReference <LttrInttRef>

*Presence:* [1..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.28.9.2 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount stated on the letter of intent.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 66.1.28.9.3 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Start date stated on the letter of intent.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.9.4 EndDate <EndDt>

*Presence:* [0..1]

*Definition:* End date stated on the letter of intent.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.10 Notification2

*Definition:* Information about the type of notification required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1878
	Required <Reqr>	[1..1]	Indicator		1878
	DistributionType <DstrbtnTp>	[0..1]	±		1878

#### 66.1.28.10.1 NotificationType <NtfctnTp>

*Presence:* [1..1]

*Definition:* Type of notification.

*Datatype:* "Max35Text" on page 2837

#### 66.1.28.10.2 Required <Reqr>

*Presence:* [1..1]

*Definition:* Indicates whether the notification is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.28.10.3 DistributionType <DstrbtnTp>

*Presence:* [0..1]

*Definition:* Specifies how the notification is sent.

**DistributionType <DstrbtnTp>** contains one of the following elements (see "InformationDistribution1Choice" on page 2026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2026
Or}	Proprietary <Prtry>	[1..1]	±		2026

#### 66.1.28.11 FundCashOutBreakdown3

*Definition:* Breakdown of cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1879
	UnitsNumber <UnitsNb>	[0..1]	±		1879
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1880
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1880
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1881
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881
	ChargeDetails <ChrgDtls>	[0..*]	±		1881
	CommissionDetails <ComssnDtls>	[0..*]	±		1882
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1882

#### 66.1.28.11.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.11.2 UnitsNumber <UnitsNb>

*Presence:* [0..1]

*Definition:* Amount of the cash flow out, expressed as a number of units.

**UnitsNumber <UnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.11.3 NewAmountIndicator <NewAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.28.11.4 InvestmentFundTransactionOutType <InvstmtFndTxOutTp>

*Presence:* [1..1]

*Definition:* Type of transaction that resulted in the cash-out movement, for example, redemption, switch-out.

**InvestmentFundTransactionOutType <InvstmtFndTxOutTp>** contains one of the following **InvestmentFundTransactionOutType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880

##### 66.1.28.11.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[InvestmentFundTransactionOutType1Code](#)" on page 2759

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

##### 66.1.28.11.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.11.5 OriginalOrderQuantityType <OrgnlOrdQtyTp>

*Presence:* [1..1]

*Definition:* Specifies how the original order was expressed that resulted in the cash-out movement, that is cash or units.

**OriginalOrderQuantityType <OrgnlOrdQtyTp>** contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881

##### 66.1.28.11.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a code.

*Datatype:* "[OrderQuantityType2Code](#)" on page 2767

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

##### 66.1.28.11.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.11.6 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Charge for the placement of an order.

**ChargeDetails <ChrgDtls>** contains the following elements (see "Charge26" on page 1411 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1411
{Or	Code <Cd>	[1..1]	CodeSet		1411
Or}	Proprietary <Prtry>	[1..1]	±		1412
	ChargeApplied <ChrgApld>	[1..1]			1412
{Or	Amount <Amt>	[1..1]	Amount	C1	1412
Or}	Rate <Rate>	[1..1]	Rate		1413

#### 66.1.28.11.7 CommissionDetails <ComssnDtls>

*Presence:* [0..\*]

*Definition:* Information related to the commission applied to an order, for example, back-end or front-end commission.

**CommissionDetails <ComssnDtls>** contains the following elements (see "Commission21" on page 1438 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1438
{Or	Code <Cd>	[1..1]	CodeSet		1439
Or}	Proprietary <Prtry>	[1..1]	±		1439
	CommissionApplied <ComssnApld>	[1..1]			1439
{Or	Amount <Amt>	[1..1]	Amount	C1	1440
Or}	Rate <Rate>	[1..1]	Rate		1440

#### 66.1.28.11.8 SettlementCurrency <SttlmCcy>

*Presence:* [0..1]

*Definition:* Settlement currency for the transaction.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

##### 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.

### 66.1.28.12 CurrencyDesignation1

*Definition:* Information about the designation of a currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1883
	Location <Lctn>	[0..1]	CodeSet	C12	1883
	AdditionalInformation <AddtlInf>	[0..1]	Text		1883

#### 66.1.28.12.1 CurrencyDesignation <CcyDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the currency is settled offshore or onshore.

*Datatype:* "CurrencyDesignation1Code" on page 2729

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

#### 66.1.28.12.2 Location <Lctn>

*Presence:* [0..1]

*Definition:* Offshore location of the currency.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 66.1.28.12.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the off-shore currency.

*Datatype:* "Max350Text" on page 2837

### 66.1.28.13 FATCAForm1Choice

*Definition:* Choice of formats for the type of Foreign Account Tax Compliance Act (FATCA) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1884
Or}	Proprietary <Prtry>	[1..1]	±		1884

#### 66.1.28.13.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

*Datatype:* "FATCAFormType1Code" on page 2736

CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

#### 66.1.28.13.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.14 LevelOfControl1Choice

*Definition:* Choice of formats for the level of control.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1885
Or}	Proprietary <Prtry>	[1..1]	±		1885

#### 66.1.28.14.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Level of control expressed as a code.

*Datatype:* "LevelOfControl1Code" on page 2763

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.
VIEW	View	Account may be viewed only.

#### 66.1.28.14.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Level of control expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.15 Pagination

*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		1885
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1885

##### 66.1.28.15.1 PageNumber <PgNb>

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* "Max5NumericText" on page 2838

##### 66.1.28.15.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

### 66.1.28.16 CancellationRight1Choice

*Definition:* Choice of formats for the cancellation right.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1886
Or}	Proprietary <Prtry>	[1..1]	±		1886

#### 66.1.28.16.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cancellation right expressed as a code.

*Datatype:* ["CancellationRight1Code"](#) on page 2715

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

#### 66.1.28.16.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cancellation right expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.28.17 ModificationScope45**

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1887
	AdditionalInformation <AddtlInf>	[1..*]	±		1887

**66.1.28.17.1 ModificationScopeIndication <ModScplIndctn>**

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**66.1.28.17.2 AdditionalInformation <AddtlInf>**

*Presence:* [1..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditiononallInformation13" on page 1919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

**66.1.28.18 Extension1**

*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>	[1..1]	Text		1888
	Text <Txt>	[1..1]	Text		1888

**Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**66.1.28.18.1 PlaceAndName <PlcAndNm>**

*Presence:* [1..1]

*Definition:* Name qualifying the information provided in the Text field, and place where this information should be inserted.

*Datatype:* "Max350Text" on page 2837

**66.1.28.18.2 Text <Txt>**

*Presence:* [1..1]

*Definition:* Text of the extension.

*Datatype:* "Max350Text" on page 2837

**66.1.28.19 BreakdownByParty3**

*Definition:* Specifies the cash-in and cash-out flows by party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1889
	AccountIdentification <AcctId>	[0..1]	±		1890
	OwnerIdentification <OwnrId>	[0..1]	±		1890
	AccountServicer <AcctSvcr>	[0..1]	±		1890
	AdditionalParameters <AddtlParams>	[0..1]	±		1891
	CashInForecast <CshInFcst>	[0..*]		C5	1891
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1892
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1892
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1892
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1892
	CashInBreakdownDetails <CshInBrkdownDtls>	[0..*]	±		1893
	AdditionalBalance <AddtlBal>	[0..1]	±		1893
	CashOutForecast <CshOutFcst>	[0..*]		C6	1893
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1894
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1894
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1895
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1895
	CashOutBreakdownDetails <CshOutBrkdownDtls>	[0..*]	±		1895
	AdditionalBalance <AddtlBal>	[0..1]	±		1896
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1896

#### 66.1.28.19.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Party, for example, fund management company, for which the cash flow is being reported.

*Impacted by:* C1 "AccountOrOwner1Rule", C2 "AccountOrOwner2Rule"

**Party <Pty>** contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		1890
	OwnerIdentification <OwnrId>	[0..1]	±		1890
	AccountServicer <AcctSvcr>	[0..1]	±		1890

**Constraints**

- **AccountOrOwner1Rule**

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

On Condition  
     /AccountIdentification is absent  
 Following Must be True  
     /OwnerIdentification Must be present

- **AccountOrOwner2Rule**

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

On Condition  
     /OwnerIdentification is absent  
 Following Must be True  
     /AccountIdentification Must be present

**66.1.28.19.1.1 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentification1](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

**66.1.28.19.1.2 OwnerIdentification <OwnrId>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <OwnrId>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

**66.1.28.19.1.3 AccountServicer <AcctSvcr>**

*Presence:* [0..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 ["PartyIdentification2Choice"](#) on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.28.19.2 AdditionalParameters <AddtlParams>

*Presence:* [0..1]

*Definition:* Additional parameter/s applied to the cash flow by party.

**AdditionalParameters <AddtlParams>** contains the following elements (see ["AdditionalParameters1"](#) on page 1924 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C12	1924
	Currency <Ccy>	[0..1]	CodeSet	C2	1925
	GeographicalArea <GeoArea>	[0..1]	Text		1925

#### 66.1.28.19.3 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C5 ["AdditionalBalanceRule"](#)

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1892
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1892
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1892
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1892
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1893
	AdditionalBalance <AddtlBal>	[0..1]	±		1893

#### Constraints

- AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition  
 /AdditionalBalance is present  
 Following Must be True  
 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present  
 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.19.3.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.19.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.19.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.19.3.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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



**66.1.28.19.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash in amounts by transaction and order type.

**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1872
	UnitsNumber <UnitsNb>	[0..1]	±		1873
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1873
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1873
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1874
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874
	ChargeDetails <ChrgDtls>	[0..*]	±		1875
	CommissionDetails <ComssnDtls>	[0..*]	±		1875
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1875

**66.1.28.19.3.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

**66.1.28.19.4 CashOutForecast <CshOutFcst>***Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1894
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1894
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1895
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1895
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1895
	AdditionalBalance <AddtlBal>	[0..1]	±		1896

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.19.4.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.19.4.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be 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.

#### 66.1.28.19.4.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.19.4.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.28.19.4.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash out amounts by transaction and order type.

**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1878 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1879
	UnitsNumber <UnitsNb>	[0..1]	±		1879
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1880
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1880
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1881
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881
	ChargeDetails <ChrgDtls>	[0..*]	±		1881
	CommissionDetails <ComssnDtls>	[0..*]	±		1882
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1882

#### 66.1.28.19.4.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.19.5 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the party.

*Impacted by:* C5 "AdditionalBalanceRule"

**NetCashForecast <NetCshFcst>** contains the following elements (see "[NetCashForecast4](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 66.1.28.20 SignatureType1Choice

*Definition:* Choice of formats for the signature type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1897
Or}	Proprietary <Prtry>	[1..1]	±		1898

#### 66.1.28.20.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Signature type expressed as a code.

*Datatype:* "SignatureType2Code" on page 2797

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

**66.1.28.20.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Signature type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.28.21 CopyInformation4***Definition:* Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1898
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C5	1898

**66.1.28.21.1 CopyIndicator <CpyInd>***Presence:* [1..1]*Definition:* Indicates whether the message is a copy.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.28.21.2 OriginalReceiver <OrgnlRcvr>***Presence:* [0..1]*Definition:* Original receiver of the message, if this message is a copy.*Impacted by:* [C5 "AnyBIC"](#)*Datatype:* "[AnyBICIdentifier](#)" on page 2823**Constraints**

- **AnyBIC**

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

**66.1.28.22 InvestorProfile2***Definition:* Information about actions that may be taken on an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	Status <Sts>	[0..1]			1901
{Or	Code <Cd>	[1..1]	CodeSet		1901
Or}	Proprietary <Prtry>	[1..1]	±		1901
	Treasury <Trsr>	[0..1]			1902
	Date <Dt>	[1..1]	Date		1902
	TraderType <TradrTp>	[1..1]			1902
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903
	Rate <Rate>	[1..1]	Rate		1903
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1903
	Date <Dt>	[0..1]	Date		1903
	SettlementFrequency <SttlmFrqcy>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904
	ConsolidationType <CnsldtnTp>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905
	MarketMaker <MktMakr>	[0..1]			1905
	ContractPeriod <CtrctPrd>	[0..1]	±		1905
	Compliance <Cmplc>	[0..1]	Indicator		1906
	MaximumSpread <MaxSprd>	[0..1]	Rate		1906
	Discount <Dscnt>	[0..1]	Rate		1906

#### 66.1.28.22.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of profile.

**Type <Tp>** contains one of the following **ProfileType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900

#### 66.1.28.22.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of profile expressed as a code.

*Datatype:* "ProfileType1Code" on page 2779

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

#### 66.1.28.22.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of profile expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562



**66.1.28.22.2 Status <Sts>***Presence:* [0..1]*Definition:* Status of the profile.**Status <Sts>** contains one of the following **InvestorProfileStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1901
Or}	Proprietary <Prtry>	[1..1]	±		1901

**66.1.28.22.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Investor profile status expressed as a code.*Datatype:* "InvestorProfileStatus1Code" on page 2761

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

**66.1.28.22.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Investor profile status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.28.22.3 Treasury <Trsr>

*Presence:* [0..1]

*Definition:* Information about the profile for treasury trading.

**Treasury <Trsr>** contains the following **TreasuryProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1902
	TraderType <TradrTp>	[1..1]			1902
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903
	Rate <Rate>	[1..1]	Rate		1903

#### 66.1.28.22.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Execution date of treasury bond trade.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.28.22.3.2 TraderType <TradrTp>

*Presence:* [1..1]

*Definition:* Type of party that performs trading operations, for example, investor or custodian.

**TraderType <TradrTp>** contains one of the following **PartyRole5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1902
Or}	Proprietary <Prtry>	[1..1]	±		1903

##### 66.1.28.22.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "[PartyRole1Code](#)" on page 2770

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

#### 66.1.28.22.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.22.3.3 Rate <Rate>

*Presence:* [1..1]

*Definition:* Tax rate.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.28.22.4 HighFrequencyTrading <HghFrqcyTradg>

*Presence:* [0..1]

*Definition:* Information about the profile for high frequency trading.

**HighFrequencyTrading <HghFrqcyTradg>** contains the following **HighFrequencyTradingProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1903
	SettlementFrequency <SttlmFrqcy>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904
	ConsolidationType <CnsltdnTp>	[0..1]			1904
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905

#### 66.1.28.22.4.1 Date <Dt>

*Presence:* [0..1]

*Definition:* Date on which the investor starts high frequency trading.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.22.4.2 SettlementFrequency <SttlmFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of settlement.

**SettlementFrequency <SttlmFrqcy>** contains one of the following **SettlementFrequency1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1904

##### 66.1.28.22.4.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement frequency expressed as a code.

*Datatype:* "EventFrequency10Code" on page 2733

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

##### 66.1.28.22.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

##### 66.1.28.22.4.3 ConsolidationType <CnsltdnTp>

*Presence:* [0..1]

*Definition:* Specifies whether consolidation is done generally or at the level of segregated account.

**ConsolidationType <CnsltdnTp>** contains one of the following **ConsolidationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1905
Or}	Proprietary <Prtry>	[1..1]	±		1905

**66.1.28.22.4.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Consolidation type expressed as a code.*Datatype:* "ConsolidationType1Code" on page 2724

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

**66.1.28.22.4.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Consolidation type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.28.22.5 MarketMaker <MktMakr>***Presence:* [0..1]*Definition:* Information about the profile for a market marker.

**MarketMaker <MktMakr>** contains the following **MarketMakerProfile2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ContractPeriod <CtrctPrd>	[0..1]	±		1905
	Compliance <Cmplc>	[0..1]	Indicator		1906
	MaximumSpread <MaxSprd>	[0..1]	Rate		1906
	Discount <Dscnt>	[0..1]	Rate		1906

**66.1.28.22.5.1 ContractPeriod <CtrctPrd>***Presence:* [0..1]*Definition:* Period of the contract.

**ContractPeriod <CtrctPrd>** contains the following elements (see ["DateTimePeriod2"](#) on page 1441 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1442
	ToDateTime <ToDtTm>	[0..1]	DateTime		1442

#### 66.1.28.22.5.2 Compliance <Cmplc>

*Presence:* [0..1]

*Definition:* Indicates whether the market maker is obligated to comply with the requirements of the contract it holds with the exchange or is exempt from these obligations.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.28.22.5.3 MaximumSpread <MaxSprd>

*Presence:* [0..1]

*Definition:* Percentage of the variation between the maximum accepted minimum and maximum value of an action.

*Datatype:* ["PercentageRate"](#) on page 2835

#### 66.1.28.22.5.4 Discount <Dscnt>

*Presence:* [0..1]

*Definition:* Rate of discount.

*Datatype:* ["PercentageRate"](#) on page 2835

### 66.1.28.23 ResidualCash2

*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1906
	Currency <Ccy>	[0..1]	CodeSet	C1	1907

#### 66.1.28.23.1 Indicator <Ind>

*Presence:* [1..1]

*Definition:* Indicates whether the cash in the account awaiting investment is to be transferred.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.28.23.2 Currency <Ccy>***Presence:* [0..1]*Definition:* Currency of the cash.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyCode" on page 2711**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.

**66.1.28.24 SecurityClassificationType2Choice**

*Definition:* Choice between a CFI code and an other type of identification for the classification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		1907
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1907

**66.1.28.24.1 CFI <CFI>***Presence:* [1..1]

*Definition:* Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification.

*Datatype:* "CFIOct2015Identifier" on page 2825**66.1.28.24.2 AlternateClassification <AltrnClssfctn>***Presence:* [1..1]

*Definition:* Other type of classification of the financial instrument.

**AlternateClassification <AltrnClssfctn>** contains the following elements (see "[GenericIdentification3](#)" on page 1570 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1570
	Issuer <Issr>	[0..1]	Text		1570

**66.1.28.25 BreakdownByUserDefinedParameter3**

*Definition:* Specifies the cash-in and cash-out flows by a user defined parameter/s.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1908
	AccountIdentification <AcctId>	[0..1]	±		1909
	OwnerIdentification <OwnrId>	[0..1]	±		1909
	AccountServicer <AcctSvcr>	[0..1]	±		1910
	Country <Ctry>	[0..1]	CodeSet	C12	1910
	Currency <Ccy>	[0..1]	CodeSet	C2	1910
	UserDefined <UsrDfnd>	[0..1]	±		1910
	CashInForecast <CshInFcst>	[0..*]		C5	1911
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1911
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1911
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1912
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1912
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		1912
	AdditionalBalance <AddtlBal>	[0..1]	±		1913
	CashOutForecast <CshOutFcst>	[0..*]		C6	1913
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1914
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1914
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1915
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1915
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		1915
	AdditionalBalance <AddtlBal>	[0..1]	±		1915
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1916

### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 66.1.28.25.1 Party <Pty>

*Presence:* [0..1]

*Definition:* Party for which the cash flow is being reported.

*Impacted by:* C1 "AccountOrOwner1Rule", C2 "AccountOrOwner2Rule"



**Party <Pty>** contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		1909
	OwnerIdentification <OwnrId>	[0..1]	±		1909
	AccountServicer <AcctSvcr>	[0..1]	±		1910

#### Constraints

- **AccountOrOwner1Rule**

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

```
On Condition
  /AccountIdentification is absent
Following Must be True
  /OwnerIdentification Must be present
```

- **AccountOrOwner2Rule**

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

```
On Condition
  /OwnerIdentification is absent
Following Must be True
  /AccountIdentification Must be present
```

#### 66.1.28.25.1.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentification1](#)" on page 1289 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1290

#### 66.1.28.25.1.2 OwnerIdentification <OwnrId>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <OwnrId>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

**66.1.28.25.1.3 AccountServicer <AcctSvcr>***Presence:* [0..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 "[PartyIdentification2Choice](#)" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

**66.1.28.25.2 Country <Ctry>***Presence:* [0..1]

*Definition:* Country for which the cash flow is being reported.

*Impacted by:* [C12 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2726

**Constraints**

- **Country**

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

**66.1.28.25.3 Currency <Ccy>***Presence:* [0..1]

*Definition:* Currency for which the cash flow is being reported.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.25.4 UserDefined <UsrDfnd>***Presence:* [0..1]

*Definition:* Parameter for which the cash flow is being reported.

**UserDefined <UsrDfnd>** contains one of the following elements (see ["DataFormat2Choice"](#) on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2385
Or}	Unstructured <Ustrd>	[1..1]	Text		2386

#### 66.1.28.25.5 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* [C5 "AdditionalBalanceRule"](#)

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1911
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1911
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1912
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1912
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1912
	AdditionalBalance <AddtlBal>	[0..1]	±		1913

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.25.5.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* ["ISODate"](#) on page 2822

#### 66.1.28.25.5.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.25.5.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.25.5.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.28.25.5.5 CashInBreakdownDetails <CshInBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash in amounts by transaction and order type.

**CashInBreakdownDetails <CshInBrkDwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1872
	UnitsNumber <UnitsNb>	[0..1]	±		1873
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1873
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1873
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1874
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874
	ChargeDetails <ChrgDtls>	[0..*]	±		1875
	CommissionDetails <ComssnDtls>	[0..*]	±		1875
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1875

#### 66.1.28.25.5.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.25.6 CashOutForecast <CshOutFcst>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1914
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1914
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1915
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1915
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1915
	AdditionalBalance <AddtlBal>	[0..1]	±		1915

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.25.6.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.25.6.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.28.25.6.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.28.25.6.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow out is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.28.25.6.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash out amounts by transaction and order type.**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1878 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1879
	UnitsNumber <UnitsNb>	[0..1]	±		1879
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1880
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1880
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1881
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881
	ChargeDetails <ChrgDtls>	[0..*]	±		1881
	CommissionDetails <ComssnDtls>	[0..*]	±		1882
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1882

**66.1.28.25.6.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

**Definition:** Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.25.7 NetCashForecast <NetCshFcst>

**Presence:** [0..\*]

**Definition:** Net cash as a result of the cash-in and cash-out flows specified for the user defined parameter.

**Impacted by:** C5 "AdditionalBalanceRule"

**NetCashForecast <NetCshFcst>** contains the following elements (see ["NetCashForecast4"](#) on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.26 InsuranceType2Choice

**Definition:** Choice of formats for the specification of the type of insurance.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1917
Or}	Proprietary <Prtry>	[1..1]	±		1917

#### 66.1.28.26.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of insurance contract expressed as a code.

*Datatype:* "Insurance1Code" on page 2745

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

#### 66.1.28.26.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of insurance contract expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.28.27 LinkedMessage1Choice

*Definition:* Reference to a message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		1917
Or	OtherReference <OthrRef>	[1..1]	±		1918
Or}	RelatedReference <RltdRef>	[1..1]	±		1918

#### 66.1.28.27.1 PreviousReference <PrvsRef>

*Presence:* [1..1]

*Definition:* Linked previous reference.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 66.1.28.27.2 OtherReference <OthrRef>

*Presence:* [1..1]

*Definition:* Linked other reference.

**OtherReference <OthrRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 66.1.28.27.3 RelatedReference <RltdRef>

*Presence:* [1..1]

*Definition:* Linked related reference.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1559 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1559
	ReferenceIssuer <RefIssr>	[0..1]	±		1559
	MessageName <MsgNm>	[0..1]	Text		1560

#### 66.1.28.28 AllOtherCash1

*Definition:* Specifies whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1918
	Currency <Ccy>	[0..1]	CodeSet	C1	1919

#### 66.1.28.28.1 Indicator <Ind>

*Presence:* [1..1]

*Definition:* Indicates whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.28.28.2 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

##### 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.

#### 66.1.28.29 AdditiononallInformation13

*Definition:* Restrictions, remarks or notes that may be applied to an account or investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1919
	AdditionalInformation <AddtlInf>	[0..1]	Text		1919
	AccountValidation <AcctVldtn>	[0..1]	Text		1920
	Type <Tp>	[0..1]	Text		1920
	Regulator <Rgltr>	[0..1]	±		1920
	Status <Sts>	[0..1]			1920
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921
	Period <Prd>	[0..1]	±		1921

#### 66.1.28.29.1 Limitation <Lmttn>

*Presence:* [0..1]

*Definition:* Restrictions and/or limitations on the account or party.

*Datatype:* ["Max350Text"](#) on page 2837

#### 66.1.28.29.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information such as remarks or notes that must be conveyed about the account management activity or party.

*Datatype:* "Max350Text" on page 2837

#### 66.1.28.29.3 AccountValidation <AcctVldtn>

*Presence:* [0..1]

*Definition:* Information or instructions for the by-passing of validations in the account registration process.

*Datatype:* "Max350Text" on page 2837

#### 66.1.28.29.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type or identification of the remark, note, limitation or restriction.

*Datatype:* "Max35Text" on page 2837

#### 66.1.28.29.5 Regulator <Rgltr>

*Presence:* [0..1]

*Definition:* Regulator that may have to be informed about the remark, note, limitation or restriction.

**Regulator <Rgltr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.28.29.6 Status <Sts>

*Presence:* [0..1]

*Definition:* Status of the remark, note, limitation or restriction.

**Status <Sts>** contains one of the following **RestrictionStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1920
Or}	Proprietary <Prtry>	[1..1]	±		1921

#### 66.1.28.29.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status of the restriction expressed as a code.

*Datatype:* "RestrictionStatus1Code" on page 2791

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

**66.1.28.29.6.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Status of the restriction expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.28.29.7 Period <Prd>***Presence:* [0..1]*Definition:* Period of the restriction.**Period <Prd>** contains the following elements (see "[DateTimePeriod2](#)" on page 1441 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1442
	ToDateTime <ToDtTm>	[0..1]	DateTime		1442

**66.1.28.30 CancellationReason32Choice***Definition:* Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1921
Or}	Proprietary <Prtry>	[1..1]	±		1921

**66.1.28.30.1 Code <Cd>***Presence:* [1..1]*Definition:* Cancellation reason expressed as a code.*Datatype:* "[Max35Text](#)" on page 2837**66.1.28.30.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Cancellation reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

### 66.1.28.31 PerformanceFactors1

*Definition:* Performance factors of the investment fund / fund class.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1922
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1922
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1922
	NormalPerformance <NrmlPrfrmnc>	[0..1]	Quantity		1923

#### Constraints

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

#### 66.1.28.31.1 CorporateActionFactor <CorpActnFctr>

*Presence:* [0..1]

*Definition:* Value of the NAV before all corporate events of the valuation date, divided by the value of the NAV after the corporate event.

*Datatype:* "[DecimalNumber](#)" on page 2834

#### 66.1.28.31.2 CumulativeCorporateActionFactor <CmltvCorpActnFctr>

*Presence:* [0..1]

*Definition:* Value of the NAV before a corporate event, divided by the value of the NAV after the corporate event, accumulated for a number of corporate events over the defined period of time.

*Datatype:* "[DecimalNumber](#)" on page 2834

#### 66.1.28.31.3 AccumulationPeriod <AcmltnPrd>

*Presence:* [0..1]

*Definition:* Period of time for the calculation of the cumulative corporate action factor.

**AccumulationPeriod <AcmltnPrd>** contains the following elements (see "[DatePeriodDetails](#)" on page 1440 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1440
	ToDate <ToDt>	[1..1]	Date		1440

#### 66.1.28.31.4 NormalPerformance <NrmlPrfrmnc>

*Presence:* [0..1]

*Definition:* Normal performance value of the NAV.

*Datatype:* "[DecimalNumber](#)" on page 2834

#### 66.1.28.32 Liability1Choice

*Definition:* Choice of formats for liability.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1923
Or}	Proprietary <Prtry>	[1..1]	±		1923

##### 66.1.28.32.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Liability expressed as a code.

*Datatype:* "[Liability1Code](#)" on page 2763

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

##### 66.1.28.32.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Liability expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.28.33 CashAll1**

*Definition:* Specifies whether all assets in the portfolio should be liquidated and transferred as cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1924
	Currency <Ccy>	[0..1]	CodeSet	C1	1924

**66.1.28.33.1 Indicator <Ind>**

*Presence:* [1..1]

*Definition:* Indicates whether all assets in the portfolio are to be liquidated and transferred as cash.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.28.33.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2711

**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.

**66.1.28.34 AdditionalParameters1**

*Definition:* Sort criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C12	1924
	Currency <Ccy>	[0..1]	CodeSet	C2	1925
	GeographicalArea <GeoArea>	[0..1]	Text		1925

**66.1.28.34.1 Country <Ctry>**

*Presence:* [0..1]

*Definition:* Specifies the country.

*Impacted by:* [C12 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2726



**Constraints**

- **Country**

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

**66.1.28.34.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Specifies the currency.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.34.3 GeographicalArea <GeoArea>**

*Presence:* [0..1]

*Definition:* Specifies the geographical area, eg, Asia-Pacific, Europe, Middle-East.

*Datatype:* "Max35Text" on page 2837

**66.1.28.35 ValuationStatistics3**

*Definition:* Statistical data related to the price change of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1927
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1927
	Structured <Strd>	[1..1]	CodeSet		1928
	AdditionalInformation <AddtlInf>	[0..1]	Text		1929
	PriceChange <PricChng>	[1..1]		C5, C6	1929
	Amount <Amt>	[0..1]	Amount	C2	1930
	AmountSign <AmtSgn>	[0..1]	Indicator		1930
	Rate <Rate>	[0..1]	Rate		1930
	Yield <Yld>	[0..1]	Rate		1930
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1930
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1931
	Amount <Amt>	[1..1]	Amount	C2	1931
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1932
	Amount <Amt>	[1..1]	Amount	C2	1932
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1932
	Amount <Amt>	[0..1]	Amount	C2	1933
	AmountSign <AmtSgn>	[0..1]	Indicator		1933
	Rate <Rate>	[0..1]	Rate		1933
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1933
	Amount <Amt>	[0..1]	Amount	C2	1934
	AmountSign <AmtSgn>	[0..1]	Indicator		1934
	Rate <Rate>	[0..1]	Rate		1934
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1934
	Amount <Amt>	[0..1]	Amount	C2	1935
	AmountSign <AmtSgn>	[0..1]	Indicator		1935
	Rate <Rate>	[0..1]	Rate		1935
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1936
	Period <Prd>	[1..1]	±		1936
	HighestPriceValue <HghstPricVal>	[0..1]			1936
	Amount <Amt>	[1..1]	Amount	C2	1936
	LowestPriceValue <LwstPricVal>	[0..1]			1937

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	1937
	PriceChange <PricChng>	[0..1]		C5, C6	1937
	Amount <Amt>	[0..1]	Amount	C2	1938
	AmountSign <AmtSgn>	[0..1]	Indicator		1938
	Rate <Rate>	[0..1]	Rate		1938
	Yield <Yld>	[0..1]	Rate		1938

#### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

#### 66.1.28.35.1 Currency <Ccy>

*Presence:* [1..1]

*Definition:* Currency of the valuation statistics.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.28.35.2 PriceTypeChangeBasis <PricTpChngBsis>

*Presence:* [1..1]

*Definition:* Type of price from which the change is calculated, eg, bid, offer, or single.

*Impacted by:* C18 "OtherCodeRule"

**PriceTypeChangeBasis <PricTpChngBsis>** contains the following **PriceType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1928
	AdditionalInformation <AddtlInf>	[0..1]	Text		1929

#### Constraints

- **OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

#### 66.1.28.35.2.1 Structured <Strd>

*Presence:* [1..1]

*Definition:* Structured format.

*Datatype:* "TypeOfPrice6Code" on page 2819

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs

CodeName	Name	Definition
		redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

#### 66.1.28.35.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the type of charge.

*Datatype:* "Max350Text" on page 2837

#### 66.1.28.35.3 PriceChange <PricChng>

*Presence:* [1..1]

*Definition:* Change in price since the previous valuation date.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**PriceChange <PricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2	1930
	AmountSign <AmtSgn>	[0..1]	Indicator		1930
	Rate <Rate>	[0..1]	Rate		1930

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**66.1.28.35.3.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.35.3.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

**66.1.28.35.3.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.35.4 Yield <Yld>**

*Presence:* [0..1]

*Definition:* Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.35.5 ByPredefinedTimePeriods <ByPrdfndTmPrds>**

*Presence:* [0..1]

*Definition:* Information related to price variations, expressed using pre-defined periods.

**ByPredefinedTimePeriods <ByPrdfndTmPrds>** contains the following  
**StatisticsByPredefinedTimePeriods2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1931
	Amount <Amt>	[1..1]	Amount	C2	1931
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1932
	Amount <Amt>	[1..1]	Amount	C2	1932
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1932
	Amount <Amt>	[0..1]	Amount	C2	1933
	AmountSign <AmtSgn>	[0..1]	Indicator		1933
	Rate <Rate>	[0..1]	Rate		1933
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1933
	Amount <Amt>	[0..1]	Amount	C2	1934
	AmountSign <AmtSgn>	[0..1]	Indicator		1934
	Rate <Rate>	[0..1]	Rate		1934
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1934
	Amount <Amt>	[0..1]	Amount	C2	1935
	AmountSign <AmtSgn>	[0..1]	Indicator		1935
	Rate <Rate>	[0..1]	Rate		1935

#### 66.1.28.35.5.1 HighestPriceValue12Months <HghstPricVal12Mnths>

*Presence:* [0..1]

*Definition:* Highest price for the referenced period.

**HighestPriceValue12Months <HghstPricVal12Mnths>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	1931

##### 66.1.28.35.5.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.35.5.2 LowestPriceValue12Months <LwstPricVal12Mnths>**

*Presence:* [0..1]

*Definition:* Lowest price for the referenced period.

**LowestPriceValue12Months <LwstPricVal12Mnths>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	1932

**66.1.28.35.5.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.35.5.3 OneYearPriceChange <OneYrPricChng>**

*Presence:* [0..1]

*Definition:* Change in price over a one year period.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**OneYearPriceChange <OneYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2	1933
	AmountSign <AmtSgn>	[0..1]	Indicator		1933
	Rate <Rate>	[0..1]	Rate		1933



**Constraints**

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**66.1.28.35.5.3.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.35.5.3.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

**66.1.28.35.5.3.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.35.5.4 ThreeYearPriceChange <ThreeYrPricChng>**

*Presence:* [0..1]

*Definition:* Change in price over a three year period.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**ThreeYearPriceChange <ThreeYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2	1934
	AmountSign <AmtSgn>	[0..1]	Indicator		1934
	Rate <Rate>	[0..1]	Rate		1934

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

#### 66.1.28.35.5.4.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.28.35.5.4.2 AmountSign <AmtSgn>

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

#### 66.1.28.35.5.4.3 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.28.35.5.5 FiveYearPriceChange <FiveYrPricChng>

*Presence:* [0..1]

*Definition:* Change in price over a five year period.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**FiveYearPriceChange <FiveYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2	1935
	AmountSign <AmtSgn>	[0..1]	Indicator		1935
	Rate <Rate>	[0..1]	Rate		1935

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

#### 66.1.28.35.5.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.28.35.5.5.2 AmountSign <AmtSgn>

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

#### 66.1.28.35.5.5.3 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.35.6 ByUserDefinedTimePeriod <ByUsrDfndTmPrd>***Presence:* [0..\*]*Definition:* Information related to price variations, expressed using user-defined periods.**ByUserDefinedTimePeriod <ByUsrDfndTmPrd>** contains the following **StatisticsByUserDefinedTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Period <Prd>	[1..1]	±		1936
	HighestPriceValue <HghstPricVal>	[0..1]			1936
	Amount <Amt>	[1..1]	Amount	C2	1936
	LowestPriceValue <LwstPricVal>	[0..1]			1937
	Amount <Amt>	[1..1]	Amount	C2	1937
	PriceChange <PricChng>	[0..1]		C5, C6	1937
	Amount <Amt>	[0..1]	Amount	C2	1938
	AmountSign <AmtSgn>	[0..1]	Indicator		1938
	Rate <Rate>	[0..1]	Rate		1938
	Yield <Yld>	[0..1]	Rate		1938

**66.1.28.35.6.1 Period <Prd>***Presence:* [1..1]*Definition:* Reference period for the valuation.**Period <Prd>** contains one of the following elements (see "[DateOrDateTimePeriodChoice](#)" on page 1448 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1448
Or}	DateTime <DtTm>	[1..1]	±		1449

**66.1.28.35.6.2 HighestPriceValue <HghstPricVal>***Presence:* [0..1]*Definition:* Highest price for the referenced period.**HighestPriceValue <HghstPricVal>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	1936

**66.1.28.35.6.2.1 Amount <Amt>***Presence:* [1..1]*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.28.35.6.3 LowestPriceValue <LwstPricVal>

*Presence:* [0..1]

*Definition:* Lowest price for the referenced period.

**LowestPriceValue <LwstPricVal>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	1937

##### 66.1.28.35.6.3.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.28.35.6.4 PriceChange <PricChng>

*Presence:* [0..1]

*Definition:* Change in price since the previous valuation date.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**PriceChange <PricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2	1938
	AmountSign <AmtSgn>	[0..1]	Indicator		1938
	Rate <Rate>	[0..1]	Rate		1938

**Constraints**

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**66.1.28.35.6.4.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.35.6.4.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2834):

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

**66.1.28.35.6.4.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.35.6.5 Yield <Yld>**

*Presence:* [0..1]

*Definition:* Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

*Datatype:* "PercentageRate" on page 2835

**66.1.28.36 ResidualCash1**

*Definition:* Specifies whether there is cash in the account awaiting investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		1939
	Currency <Ccy>	[0..1]	CodeSet	C1	1939

#### 66.1.28.36.1 ResidualCashIndicator <RsdICshInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is cash in the account awaiting investment.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.28.36.2 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* C1 ["ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode" on page 2711](#)

##### 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.

#### 66.1.28.37 BreakdownByCountry2

*Definition:* Specifies the cash-in and cash-out flows by country.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	1940
	CashInForecast <CshInFcst>	[0..*]		C5	1940
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1941
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1941
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1942
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1942
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1942
	AdditionalBalance <AddtlBal>	[0..1]	±		1942
	CashOutForecast <CshOutFcst>	[0..*]		C6	1943
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1944
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1944
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1944
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1944
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1944
	AdditionalBalance <AddtlBal>	[0..1]	±		1945
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1945

#### 66.1.28.37.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country for which the cash flow is being reported.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.28.37.2 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C5 "AdditionalBalanceRule"



**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1941
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1941
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1942
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1942
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		1942
	AdditionalBalance <AddtlBal>	[0..1]	±		1942

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.37.2.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.37.2.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.28.37.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.28.37.2.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow in is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.28.37.2.5 CashInBreakdownDetails <CshInBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash in amounts by transaction and order type.**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1872
	UnitsNumber <UnitsNb>	[0..1]	±		1873
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1873
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1873
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1874
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874
	ChargeDetails <ChrgDtls>	[0..*]	±		1875
	CommissionDetails <ComssnDtls>	[0..*]	±		1875
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1875

**66.1.28.37.2.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

**Definition:** Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

### 66.1.28.37.3 CashOutForecast <CshOutFcst>

**Presence:** [0..\*]

**Definition:** Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

**Impacted by:** C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1944
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1944
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1944
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1944
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1944
	AdditionalBalance <AddtlBal>	[0..1]	±		1945

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.37.3.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.37.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.37.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.37.3.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.28.37.3.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash out amounts by transaction and order type.

**CashOutBreakdownDetails <CshOutBrkdwDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1878 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1879
	UnitsNumber <UnitsNb>	[0..1]	±		1879
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1880
	InvestmentFundTransactionOutType <InvstmntFndTxOutTp>	[1..1]			1880
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1881
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881
	ChargeDetails <ChrgDtls>	[0..*]	±		1881
	CommissionDetails <ComssnDtls>	[0..*]	±		1882
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1882

#### 66.1.28.37.3.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.37.4 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the country.

*Impacted by:* C5 "AdditionalBalanceRule"

**NetCashForecast <NetCshFcst>** contains the following elements (see "[NetCashForecast4](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 66.1.28.38 ModificationScope21

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScpIndctn>	[1..1]	CodeSet		1946
	IssueAllocation <IsseAllcn>	[1..1]	±		1946

#### 66.1.28.38.1 ModificationScopeIndication <ModScpIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.28.38.2 IssueAllocation <IsseAllcn>

*Presence:* [1..1]

*Definition:* Information about the investment account ownership with respect to new issue allocation for a hedge fund.

**IssueAllocation** <IsseAllcn> contains the following elements (see "NewIssueAllocation2" on page 1871 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1871
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1871
	DeMinimus <DeMnms>	[0..1]	±		1871

### 66.1.28.39 BreakdownByCurrency2

*Definition:* Specifies the cash-in and cash-out flows by currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1947
	CashOutForecast <CshOutFcst>	[0..*]		C6	1948
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1948
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1948
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1949
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1949
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1949
	AdditionalBalance <AddtlBal>	[0..1]	±		1950
	CashInForecast <CshInFcst>	[0..*]		C5	1950
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1951
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1951
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1952
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1952
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1952
	AdditionalBalance <AddtlBal>	[0..1]	±		1952
	NetCashForecast <NetCshFcst>	[0..*]	±	C5	1953

#### 66.1.28.39.1 Currency <Ccy>

*Presence:* [1..1]

*Definition:* Currency for which the cash flow is being reported.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.1.28.39.2 CashOutForecast <CshOutFcst>**

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1948
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1948
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1949
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1949
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1949
	AdditionalBalance <AddtlBal>	[0..1]	±		1950

**Constraints**

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

**66.1.28.39.2.1 CashSettlementDate <CshSttlmDt>**

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

**66.1.28.39.2.2 SubTotalAmount <SubTtlAmt>**

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"



*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

#### 66.1.28.39.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.28.39.2.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.28.39.2.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash out amounts by transaction and order type.

**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1878 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1879
	UnitsNumber <UnitsNb>	[0..1]	±		1879
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1880
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1880
{Or	Code <Cd>	[1..1]	CodeSet		1880
Or}	Proprietary <Prtry>	[1..1]	±		1880
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1881
{Or	Code <Cd>	[1..1]	CodeSet		1881
Or}	Proprietary <Prtry>	[1..1]	±		1881
	ChargeDetails <ChrgDtls>	[0..*]	±		1881
	CommissionDetails <ComssnDtls>	[0..*]	±		1882
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1882

#### 66.1.28.39.2.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.39.3 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C5 "AdditionalBalanceRule"

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1951
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C2, C10	1951
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1952
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1952
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		1952
	AdditionalBalance <AddtlBal>	[0..1]	±		1952

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 66.1.28.39.3.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2822

#### 66.1.28.39.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.28.39.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

**66.1.28.39.3.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow in is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.28.39.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash in amounts by transaction and order type.**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1872
	UnitsNumber <UnitsNb>	[0..1]	±		1873
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1873
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1873
{Or	Code <Cd>	[1..1]	CodeSet		1873
Or}	Proprietary <Prtry>	[1..1]	±		1874
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1874
{Or	Code <Cd>	[1..1]	CodeSet		1874
Or}	Proprietary <Prtry>	[1..1]	±		1874
	ChargeDetails <ChrgDtls>	[0..*]	±		1875
	CommissionDetails <ComssnDtls>	[0..*]	±		1875
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C1	1875

**66.1.28.39.3.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

**Definition:** Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1337
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1337
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C2, C10	1338
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C2, C10	1338

#### 66.1.28.39.4 NetCashForecast <NetCshFcst>

**Presence:** [0..\*]

**Definition:** Net cash as a result of the cash-in and cash-out flows specified for the currency.

**Impacted by:** [C5 "AdditionalBalanceRule"](#)

**NetCashForecast <NetCshFcst>** contains the following elements (see ["NetCashForecast4"](#) on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1359
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1360
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1360
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1360
	AdditionalBalance <AddtlBal>	[0..1]	±		1360

#### Constraints

- AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 66.1.29 Organisation Identification

### 66.1.29.1 PartyIdentification2Choice

*Definition:* Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.29.1.1 BICOrBEI <BICOrBEI>

*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:* C5 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2823

#### Constraints

- **AnyBIC**

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

#### 66.1.29.1.2 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 "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.29.1.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

### 66.1.29.2 Organisation40

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1955
	ShortName <ShrtNm>	[0..1]	Text		1956
	Identification <Id>	[0..1]			1956
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1956
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1956
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1957
	Purpose <Purp>	[0..1]	Text		1957
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1957
	RegistrationDate <RegnDt>	[0..1]	Date		1957
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			1957
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1958
	PostalAddress <PstlAdr>	[1..1]	±	C23	1958
	TypeOfOrganisation <TpOfOrg>	[0..1]			1959
{Or	Code <Cd>	[1..1]	CodeSet		1960
Or}	Proprietary <Prtry>	[1..1]	±		1960
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1960

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 66.1.29.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which the organisation is known and which is usually used to identify that organisation.

*Datatype:* "Max350Text" on page 2837

#### 66.1.29.2.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Name of the organisation in short form.

*Datatype:* "Max35Text" on page 2837

#### 66.1.29.2.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the organisation.

**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1956
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1956

##### 66.1.29.2.3.1 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:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

#### 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.

##### 66.1.29.2.3.2 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 "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.29.2.4 LegalEntityIdentifier <LglNttyldr>

*Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "[LEIIdentifier](#)" on page 2830

#### 66.1.29.2.5 Purpose <Purp>

*Presence:* [0..1]

*Definition:* Purpose of the organisation, for example, charity.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.29.2.6 RegistrationCountry <RegnCtry>

*Presence:* [0..1]

*Definition:* Country in which the organisation is registered.

*Impacted by:* [C12 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2726

##### Constraints

- **Country**

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

#### 66.1.29.2.7 RegistrationDate <RegnDt>

*Presence:* [0..1]

*Definition:* Date and time at which a given organisation was officially registered.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.29.2.8 ModifiedPostalAddress <ModfdPstlAdr>

*Presence:* [0..\*]

*Definition:* Information related to an address to be inserted, updated or deleted.

**ModifiedPostalAddress <ModfdPstlAdr>** contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1958
	PostalAddress <PstlAdr>	[1..1]	±	C23	1958

#### 66.1.29.2.8.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.29.2.8.2 PostalAddress <PstlAdr>

*Presence:* [1..1]

*Definition:* Address of the organisation.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.29.2.9 TypeOfOrganisation <TpOfOrg>

*Presence:* [0..1]

*Definition:* Type of organisation.

**TypeOfOrganisation <TpOfOrg>** contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1960
Or}	Proprietary <Prtry>	[1..1]	±		1960

#### 66.1.29.2.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a code.

*Datatype:* "OrganisationType1Code" on page 2768

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

#### 66.1.29.2.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.29.2.10 PlaceOfListing <PlcOfListg>

*Presence:* [0..\*]

*Definition:* Place of listing for shares in the organisation.

*Datatype:* "MICIdentifier" on page 2830

#### 66.1.29.3 PartyIdentification1Choice

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1961
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1961
Or}	NameAndAddress <NmAndAdr>	[1..1]			1961
	Name <Nm>	[1..1]	Text		1962
	Address <Adr>	[0..1]	±		1962

#### 66.1.29.3.1 BICOrBEI <BICOrBEI>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

*Impacted by:* C5 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2823

##### Constraints

- **AnyBIC**

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

#### 66.1.29.3.2 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 "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.29.3.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

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

**NameAndAddress <NmAndAdr>** contains the following **NameAndAddress2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1962
	Address <Adr>	[0..1]	±		1962

**66.1.29.3.3.1 Name <Nm>***Presence:* [1..1]*Definition:* Name by which a party is known and which is usually used to identify that party.*Datatype:* "Max35Text" on page 2837**66.1.29.3.3.2 Address <Adr>***Presence:* [0..1]*Definition:* Information that locates and identifies a specific address, as defined by postal services.**Address <Adr>** contains one of the following elements (see "LongPostalAddress1Choice" on page 2320 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2320
Or}	Structured <Strd>	[1..1]	±	C14	2320

**66.1.29.4 PartyIdentification3***Definition:* Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1962

**66.1.29.4.1 BICOrBEI <BICOrBEI>***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:* C5 "AnyBIC"*Datatype:* "AnyBICIdentifier" on page 2823**Constraints**

- **AnyBIC**

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

**66.1.29.5 Organisation39***Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1963
	ShortName <ShrtNm>	[0..1]	Text		1963
	Identification <Id>	[0..1]			1963
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1964
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1964
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1964
	Purpose <Purp>	[0..1]	Text		1964
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1965
	RegistrationDate <RegnDt>	[0..1]	Date		1965
	PostalAddress <PstlAdr>	[0..10]	±	C23	1965
	TypeOfOrganisation <TpOfOrg>	[0..1]			1966
{Or	Code <Cd>	[1..1]	CodeSet		1967
Or}	Proprietary <Prtry>	[1..1]	±		1967
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1967

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 66.1.29.5.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which the organisation is known and which is usually used to identify that organisation.

*Datatype:* "Max350Text" on page 2837

#### 66.1.29.5.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Name of the organisation in short form.

*Datatype:* "Max35Text" on page 2837

#### 66.1.29.5.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the organisation.

**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1964
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1964

#### 66.1.29.5.3.1 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:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

#### 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.

#### 66.1.29.5.3.2 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 "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.29.5.4 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.29.5.5 Purpose <Purp>

*Presence:* [0..1]

*Definition:* Purpose of the organisation, for example, charity.

*Datatype:* "Max35Text" on page 2837



**66.1.29.5.6 RegistrationCountry <RegnCtry>**

*Presence:* [0..1]

*Definition:* Country in which the organisation is registered.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.29.5.7 RegistrationDate <RegnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which a given organisation was officially registered.

*Datatype:* "ISODate" on page 2822

**66.1.29.5.8 PostalAddress <PstlAdr>**

*Presence:* [0..10]

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

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.29.5.9 TypeOfOrganisation <TpOfOrg>

*Presence:* [0..1]

*Definition:* Type of organisation.

**TypeOfOrganisation <TpOfOrg>** contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1967
Or}	Proprietary <Prtry>	[1..1]	±		1967

#### 66.1.29.5.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a code.

*Datatype:* "OrganisationType1Code" on page 2768

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

#### 66.1.29.5.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.29.5.10 PlaceOfListing <PlcOfListg>

*Presence:* [0..\*]

*Definition:* Place of listing for shares in the organisation.

*Datatype:* "MICIdentifier" on page 2830

#### 66.1.29.6 PartyIdentification220

*Definition:* Identification of a person or an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1968
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1968
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1969
Or	NameAndAddress <NmAndAdr>	[1..1]			1969
	Name <Nm>	[1..1]	Text		1969
	PostalAddress <PstlAdr>	[0..1]	±	C23	1969
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1970
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1970
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1971

### Constraints

- **OrganisationIdentificationRule**

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

/Identification Must be present

Or /LegalEntityIdentifier Must be present

#### 66.1.29.6.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the organisation.

**Identification <Id>** contains one of the following **PartyIdentification182Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1968
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1969
Or	NameAndAddress <NmAndAdr>	[1..1]			1969
	Name <Nm>	[1..1]	Text		1969
	PostalAddress <PstlAdr>	[0..1]	±	C23	1969
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1970
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1970

#### 66.1.29.6.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

#### 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.

#### 66.1.29.6.1.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.29.6.1.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **NameAndAddress15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1969
	PostalAddress <PstlAdr>	[0..1]	±	C23	1969

##### 66.1.29.6.1.3.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 2837

##### 66.1.29.6.1.3.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MInglnd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.29.6.1.4 TaxIdentificationNumber <TaxIdNb>

*Presence:* [1..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "Max35Text" on page 2837

#### 66.1.29.6.1.5 NationalRegistrationNumber <NtlRegnNb>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.29.6.2 LegalEntityIdentifier <LgInttyldr>

*Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.29.7 Organisation36

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1971
	Identification <Id>	[0..1]	±		1971
	Purpose <Purp>	[0..1]	Text		1971
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C12	1972
	RegistrationDate <RegnDt>	[0..1]	Date		1972
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1972
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1972
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1972

#### 66.1.29.7.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max140Text" on page 2836

#### 66.1.29.7.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the organisation.

**Identification <Id>** contains the following elements (see "PartyIdentification140" on page 2086 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2086
	LEI <LEI>	[0..1]	IdentifierSet		2087

#### 66.1.29.7.3 Purpose <Purp>

*Presence:* [0..1]

*Definition:* Purpose of the organisation, for example, charity.

*Datatype:* "Max35Text" on page 2837

#### **66.1.29.7.4 TaxationCountry <TaxtnCtry>**

*Presence:* [0..1]

*Definition:* Country of taxation of the organisation.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### **Constraints**

- **Country**

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

#### **66.1.29.7.5 RegistrationCountry <RegnCtry>**

*Presence:* [0..1]

*Definition:* Country in which the organisation is registered.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### **Constraints**

- **Country**

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

#### **66.1.29.7.6 RegistrationDate <RegnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the organisation was officially registered.

*Datatype:* "ISODate" on page 2822

#### **66.1.29.7.7 TaxIdentificationNumber <TaxIdNb>**

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to the organisation.

*Datatype:* "Max35Text" on page 2837

#### **66.1.29.7.8 NationalRegistrationNumber <NtlRegnNb>**

*Presence:* [0..1]

*Definition:* Number assigned by a national registration authority to the organisation.

*Datatype:* "Max35Text" on page 2837

#### **66.1.29.7.9 CorporateInvestorAddress <CorpInvstrAdr>**

*Presence:* [1..1]



*Definition:* Postal address of the organisation.

**CorporateInvestorAddress <CorplnvstrAdr>** contains the following elements (see "[PostalAddress1](#)" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

## 66.1.30 Party Identification

### 66.1.30.1 PartyIdentification309

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	1973
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	ProprietaryIdentification <PrtryId>	[0..1]	±		1976
	LEI <LEI>	[0..1]	IdentifierSet		1976

#### 66.1.30.1.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

**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.

**66.1.30.1.2 ClearingSystemMemberIdentification <ClrSysMmbld>**

*Presence:* [0..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification2Choice" on page 1430 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1431
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1431
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1432
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1432
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1432
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1432
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1432
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1432
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1432
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1433
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1433
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1433
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1433
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1433
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1433
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1433
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1434
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1434
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1434
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1434
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1434
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1434
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1435

#### 66.1.30.1.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5" on page 2324](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.30.1.4 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see ["GenericIdentification1" on page 1575](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.30.1.5 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier" on page 2830](#)

#### 66.1.30.2 PartyIdentification125Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.30.2.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C4 "AnyBIC"](#)

*Datatype:* ["AnyBICDec2014Identifier" on page 2823](#)

**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.

**66.1.30.2.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.30.2.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

**66.1.30.3 ExtendedParty15**

*Definition:* Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1977
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1978

**66.1.30.3.1 ExtendedPartyRole <XtndedPtyRole>**

*Presence:* [1..1]

*Definition:* Other type of party's role.

*Datatype:* "[Extended350Code](#)" on page 2836

**66.1.30.3.2 OtherPartyDetails <OthrPtyDtls>**

*Presence:* [1..1]

*Definition:* Detailed ownership information about a party.

**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <OthrId>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.4 ExtendedParty14

*Definition:* Party and account information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1980
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1981

##### 66.1.30.4.1 ExtendedPartyRole <XtndedPtyRole>

*Presence:* [1..1]

*Definition:* Other type of party's role.

*Datatype:* "Extended350Code" on page 2836



**66.1.30.4.2 OtherPartyDetails <OthrPtyDtls>**

*Presence:* [1..1]

*Definition:* Detailed ownership information about a party.

**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrlId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

### 66.1.30.5 PartyIdentification126Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1983
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1984

#### 66.1.30.5.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

**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.

**66.1.30.5.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.30.6 CompanyLink1Choice**

*Definition:* Choice of formats for the trading party or broker.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

**66.1.30.6.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Company link expressed as a code.

*Datatype:* "CompanyLink1Code" on page 2721

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).

CodeName	Name	Definition
PCOM	ParentCompany	Parent company of the broker.
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

#### 66.1.30.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Company link expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.7 RegisteredShareholderName1Choice

*Definition:* Choice of individual or organisation name and address.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1986
	NamePrefix <NmPrfx>	[0..1]			1986
{Or	Code <Cd>	[1..1]	CodeSet		1986
Or}	Proprietary <Prtry>	[1..1]	±		1986
	GivenName <GvnNm>	[0..1]	Text		1987
	MiddleName <MddlNm>	[0..1]	Text		1987
	Name <Nm>	[1..1]	Text		1987
	PostalAddress <PstlAdr>	[1..5]	±	C23	1987
Or}	Organisation <Org>	[1..1]			1988
	Name <Nm>	[1..1]	Text		1989
	ShortName <ShrtNm>	[0..1]	Text		1989
	PostalAddress <PstlAdr>	[1..5]	±	C23	1989

**66.1.30.7.1 IndividualPerson <IndvPrsn>***Presence:* [1..1]*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').**IndividualPerson <IndvPrsn>** contains the following **IndividualPerson29** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			1986
{Or	Code <Cd>	[1..1]	CodeSet		1986
Or}	Proprietary <Prtry>	[1..1]	±		1986
	GivenName <GvnNm>	[0..1]	Text		1987
	MiddleName <MddlNm>	[0..1]	Text		1987
	Name <Nm>	[1..1]	Text		1987
	PostalAddress <PstlAdr>	[1..5]	±	C23	1987

**66.1.30.7.1.1 NamePrefix <NmPrfx>***Presence:* [0..1]*Definition:* Term used to address the person.**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1986
Or}	Proprietary <Prtry>	[1..1]	±		1986

**66.1.30.7.1.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Name prefix expressed as a code.*Datatype:* "NamePrefix1Code" on page 2764

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.

**66.1.30.7.1.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name prefix expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.7.1.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.30.7.1.3 MiddleName <MddINm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.30.7.1.4 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that person.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.30.7.1.5 PostalAddress <PstlAdr>

*Presence:* [1..5]

*Definition:* Address of the person.

*Impacted by:* [C23 "MailingIndicatorRule"](#)

**PostalAddress <PstAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.30.7.2 Organisation <Org>

*Presence:* [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.



**Organisation <Org>** contains the following **Organisation23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1989
	ShortName <ShrtNm>	[0..1]	Text		1989
	PostalAddress <PstlAdr>	[1..5]	±	C23	1989

#### 66.1.30.7.2.1 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 2837

#### 66.1.30.7.2.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Name of the organisation in short form.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.7.2.3 PostalAddress <PstlAdr>

*Presence:* [1..5]

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

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

### 66.1.30.8 MoneyLaunderingCheck1Choice

*Definition:* Choice of formats for the specification of the money laundering check.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1991
Or}	Proprietary <Prtry>	[1..1]	±		1991

**66.1.30.8.1 Code <Cd>***Presence:* [1..1]*Definition:* Money laundering status expressed as a code.*Datatype:* "MoneyLaunderingCheck1Code" on page 2764

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

**66.1.30.8.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Money laundering status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.30.9 ModificationScope43***Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1992
	Placement <Plcmnt>	[1..1]	±	C30	1992

#### 66.1.30.9.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.30.9.2 Placement <Plcmnt>

*Presence:* [1..1]

*Definition:* Referral information.

*Impacted by:* C30 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2101
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2101

#### Constraints

- **ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

#### 66.1.30.10 AccountParties17

*Definition:* Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1993
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1993
Or	Trustee <Trstee>	[1..5]	±		1995
Or	Nominee <Nmnee>	[1..1]	±		1997
Or}	JointOwner <JntOwnr>	[1..5]	±		1999
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2001
	Beneficiary <Bnfcry>	[0..*]	±		2003
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2005
	LegalGuardian <LglGuardn>	[0..*]	±		2007
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2009
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2011
	Administrator <Admstr>	[0..*]	±		2013
	OtherParty <OthrPty>	[0..*]	±		2015
	Granter <Grntr>	[0..*]	±		2015
	Settlor <Sttlr>	[0..*]	±		2017
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2019
	Protector <Prctcr>	[0..*]	±		2021
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2023

#### 66.1.30.10.1 PrincipalAccountParty <PrncplAcctPty>

*Presence:* [1..1]

*Definition:* Main party associated with the account.

**PrincipalAccountParty <PrncplAcctPty>** contains one of the following **AccountParties12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1993
Or	Trustee <Trstee>	[1..5]	±		1995
Or	Nominee <Nmnee>	[1..1]	±		1997
Or}	JointOwner <JntOwnr>	[1..5]	±		1999

##### 66.1.30.10.1.1 PrimaryOwner <PmryOwnr>

*Presence:* [1..1]

*Definition:* Single owner of the account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

**PrimaryOwner <PmryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.1.2 Trustee <Trstee>

*Presence:* [1..5]

*Definition:* Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASTs>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.1.3 Nominee <Nmnee>

*Presence:* [1..1]

*Definition:* Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.

**Nominee <Nmnee>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.1.4 JointOwner <JntOwnr>

*Presence:* [1..5]

*Definition:* Co-owner of the investment account when the ownership is assigned to more than one party.

**JointOwner <JntOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.2 SecondaryOwner <ScndryOwnr>

*Presence:* [0..\*]

*Definition:* Entity that is not the primary owner when the ownership of the investment account is split among several owners.

**SecondaryOwner <ScndryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASTs>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

### 66.1.30.10.3 Beneficiary <Bnfcry>

*Presence:* [0..\*]

*Definition:* Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

**Beneficiary <Bnfcry>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.4 PowerOfAttorney <PwrOfAttny>

*Presence:* [0..\*]

*Definition:* Entity that was given the authority by another entity to act on its behalf.

**PowerOfAttorney <PwrOfAttny>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.5 LegalGuardian <LglGuardn>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

**LegalGuardian <LglGuardn>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.6 CustodianForMinor <CtdnForMnr>

*Presence:* [0..\*]

*Definition:* Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

**CustodianForMinor <CtdnForMnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASTs>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.7 SuccessorOnDeath <SucssrOnDth>

*Presence:* [0..\*]

*Definition:* Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

**SuccessorOnDeath <SucssrOnDth>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.8 Administrator <Admstr>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.

**Administrator <Admstr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.9 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "[ExtendedParty14](#)" on page 1980 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1980
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1981

#### 66.1.30.10.10 Granter <Grntr>

*Presence:* [0..\*]

*Definition:* Granter role in the hedge funds industry.

**Granter <Grntr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.11 Settlor <Sttlr>

*Presence:* [0..\*]

*Definition:* Entity that creates a trust or contributes assets to the trust.

**Settlor <Sttlr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASts>	[0..*]	±		1639
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.12 SeniorManagingOfficial <SnrMggOffcl>

*Presence:* [0..\*]

*Definition:* Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

**SeniorManagingOfficial <SnrMggOffcl>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLvl>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASTs>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.13 Protector <Prtctr>

*Presence:* [0..\*]

*Definition:* Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).

**Protector <Prctcr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1630
{Or	Organisation <Org>	[1..1]	±	C24	1630
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1631
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1633
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1633
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1634
	ValidatingParty <VldtngPty>	[0..1]	Text		1634
	CheckingParty <ChckngPty>	[0..1]	Text		1634
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1635
	CertificateType <CertTp>	[0..1]	±		1635
	CheckingDate <ChckngDt>	[0..1]	Date		1635
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1635
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1636
	SalaryRange <SlryRg>	[0..1]	Text		1636
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1636
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1636
	RiskLevel <RskLv>	[0..1]	±		1636
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1636
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1637
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1637
	ClientIdentification <Clntld>	[0..1]	Text		1637
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1638
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1638
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1638
	Notification <Ntfctn>	[0..*]	±		1638
	FATCAFormType <FATCAFormTp>	[0..*]	±		1638
	FATCAStatus <FATCASTs>	[0..*]	±		1639
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1639
	CRSFormType <CRSFormTp>	[0..*]	±		1639

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1639
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1640
	OtherIdentification <OthrId>	[0..*]	±		1640
	TaxExemption <TaxXmptn>	[0..1]	±		1641
	TaxReporting <TaxRptg>	[0..*]	±		1641
	Language <Lang>	[0..1]	CodeSet	C34	1642
	MailType <MailTp>	[0..1]	±		1643
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1643
	MonetaryWealth <MntryWith>	[0..1]	±		1643
	EquityValue <EqtyVal>	[0..1]	±		1643
	WorkingCapital <WorkgCptl>	[0..1]	±		1644
	CompanyLink <CpnyLk>	[0..1]	±		1644
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1644
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1644
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1645
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1645
	AccountingStatus <AcctgSts>	[0..1]	±		1646
	AdditionalInformation <AddtlInf>	[0..*]	±		1646
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1647

#### 66.1.30.10.14 RegisteredShareholderName <RegdShrhldrNm>

*Presence:* [0..1]

*Definition:* Party that registers its name with the issuer and the name used for the registration.

**RegisteredShareholderName <RegdShrhldrNm>** contains one of the following elements (see "RegisteredShareholderName1Choice" on page 1985 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1986
	NamePrefix <NmPrfx>	[0..1]			1986
{Or	Code <Cd>	[1..1]	CodeSet		1986
Or}	Proprietary <Prtry>	[1..1]	±		1986
	GivenName <GvnNm>	[0..1]	Text		1987
	MiddleName <MddlNm>	[0..1]	Text		1987
	Name <Nm>	[1..1]	Text		1987
	PostalAddress <PstlAdr>	[1..5]	±	C23	1987
Or}	Organisation <Org>	[1..1]			1988
	Name <Nm>	[1..1]	Text		1989
	ShortName <ShrtNm>	[0..1]	Text		1989
	PostalAddress <PstlAdr>	[1..5]	±	C23	1989

### 66.1.30.11 PartyRole4Choice

*Definition:* Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2024
Or}	Proprietary <Prtry>	[1..1]	±		2026

#### 66.1.30.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "InvestmentFundRole7Code" on page 2755

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These

CodeName	Name	Definition
		services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect

CodeName	Name	Definition
		or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

#### 66.1.30.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.12 InformationDistribution1Choice

*Definition:* Choice of formats for the specification of how information is to be distributed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2026
Or}	Proprietary <Prtry>	[1..1]	±		2026

#### 66.1.30.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Information distribution expressed as a code.

*Datatype:* "[InformationDistribution2Code](#)" on page 2744

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

#### 66.1.30.12.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Information distribution expressed as a code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.30.13 OrderDesk1

*Definition:* Identification of an order desk.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		2027
	ClosureDates <ClsrDts>	[0..*]	Date		2027
	AdditionalInformation <AddtlInf>	[0..*]	±		2027

#### 66.1.30.13.1 OrderDesk <OrdrDsk>

*Presence:* [0..1]

*Definition:* Contact information for the order desk.

**OrderDesk <OrdrDsk>** contains the following elements (see "[ContactAttributes5](#)" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 66.1.30.13.2 ClosureDates <ClsrDts>

*Presence:* [0..\*]

*Definition:* Days on which the order desk is closed.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.30.13.3 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the main order desk.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

#### 66.1.30.14 FATCAStatus2

*Definition:* Foreign Account Tax Compliance Act (FATCA) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2028
{Or	Code <Cd>	[1..1]	CodeSet		2028
Or}	Proprietary <Prtry>	[1..1]	±		2029
	Source <Src>	[0..1]			2029
{Or	Code <Cd>	[1..1]	CodeSet		2030
Or}	Proprietary <Prtry>	[1..1]	±		2030

##### 66.1.30.14.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status.

**Type <Tp>** contains one of the following **FATCAStatus2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2028
Or}	Proprietary <Prtry>	[1..1]	±		2029

##### 66.1.30.14.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status expressed as a code.

*Datatype:* "FATCAStatus1Code" on page 2737

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).



CodeName	Name	Definition
F103	FATCA103	Account holder type is a non-participating financial institution.
F104	FATCA104	Account holder type is a specified US person.
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

#### 66.1.30.14.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.14.2 Source <Src>

*Presence:* [0..1]

*Definition:* Source of the Foreign Account Tax Compliance Act (FATCA) status.

**Source <Src>** contains one of the following **FATCASource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2030
Or}	Proprietary <Prtry>	[1..1]	±		2030

**66.1.30.14.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Source of the Foreign Account Tax Compliance Act (FATCA) status expressed as a code.*Datatype:* "FATCASourceStatus1Code" on page 2737

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

**66.1.30.14.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Source of Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.30.15 ExtendedParty13***Definition:* Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		2030
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2031

**66.1.30.15.1 PartyRole <PtyRole>***Presence:* [1..1]*Definition:* Role of the party.**PartyRole <PtyRole>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.30.15.2 OtherPartyDetails <OthrPtyDtls>***Presence:* [1..1]*Definition:* Identification and communication information about the party.**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "[ContactAttributes5](#)" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

**66.1.30.16 Intermediary39***Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2031
	Account <Acct>	[0..1]			2032
	Identification <Id>	[1..1]	Text		2032
	AccountServicer <AcctSvcr>	[0..1]	±		2032
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2032
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2033
	Role <Role>	[0..1]	±		2033

**Constraints**• **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**66.1.30.16.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.30.16.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2032
	AccountServicer <AcctSvcr>	[0..1]	±		2032

##### 66.1.30.16.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2837

##### 66.1.30.16.2.2 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution servicing the account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.30.16.3 OrderOriginatorEligibility <OrdrgtrElgblty>

*Presence:* [0..1]

*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Datatype:* ["OrderOriginatorEligibility1Code"](#) on page 2766

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated

CodeName	Name	Definition
		level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

#### 66.1.30.16.4 TradingPartyCapacity <TradgPtyCpcty>

*Presence:* [0..1]

*Definition:* Capacity of the party executing an order.

*Datatype:* "TradingCapacity8Code" on page 2812

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

#### 66.1.30.16.5 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "InvestmentFundRole2Choice" on page 1827 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1827
Or}	Proprietary <Prtry>	[1..1]	±		1828

#### 66.1.30.17 ModificationScope40

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScpIndctn>	[1..1]	CodeSet		2033
	Intermediary <Intrmy>	[1..1]	±		2034

#### 66.1.30.17.1 ModificationScopeIndication <ModScpIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 66.1.30.17.2 Intermediary <Intrmy>

*Presence:* [1..1]

*Definition:* Intermediary or other party related to the management of the account.

**Intermediary <Intrmy>** contains the following elements (see "Intermediary46" on page 2096 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2096
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2097
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2097
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2097
	Account <Acct>	[0..1]			2097
	Identification <Id>	[0..1]	Text		2098
	AccountServicer <AcctSvcr>	[1..1]	±		2098
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2098
	Role <Role>	[0..1]	±		2098
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2098
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2099
	NameAndAddress <NmAndAdr>	[0..1]	±		2099

### 66.1.30.18 ContactAttributes6

*Definition:* Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2035
	PostalAddress <PstlAdr>	[0..1]	±		2035
	PhoneNumber <PhneNb>	[0..1]	Text		2035
	FaxNumber <FaxNb>	[0..1]	Text		2036
	EmailAddress <EmailAdr>	[0..1]	Text		2036
	URLAddress <URLAdr>	[0..1]	Text		2036
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2036
	LEI <LEI>	[0..1]	IdentifierSet		2036

#### 66.1.30.18.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the party.

*Datatype:* "Max350Text" on page 2837

#### 66.1.30.18.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Address of the party.

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.30.18.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Phone number of the party.

*Datatype:* "PhoneNumber" on page 2838

**66.1.30.18.4 FaxNumber <FaxNb>**

*Presence:* [0..1]

*Definition:* Fax number of the party.

*Datatype:* "PhoneNumber" on page 2838

**66.1.30.18.5 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail) for the party.

*Datatype:* "Max256Text" on page 2837

**66.1.30.18.6 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 2836

**66.1.30.18.7 AnyBIC <AnyBIC>**

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

**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.

**66.1.30.18.8 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

**66.1.30.19 Intermediary47**

*Definition:* Identification of a party and its role.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2037
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2037
	Account <Acct>	[0..1]			2037
	Identification <Id>	[0..1]	Text		2037
	AccountServicer <AcctSvcr>	[1..1]	±		2038

#### 66.1.30.19.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.30.19.2 LegalEntityIdentifier <LglNttyldr>

*Presence:* [0..1]

*Definition:* Identification of the party with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "[LEIIdentifier](#)" on page 2830

#### 66.1.30.19.3 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2037
	AccountServicer <AcctSvcr>	[1..1]	±		2038

##### 66.1.30.19.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.30.19.3.2 AccountServicer <AcctSvcr>***Presence:* [1..1]*Definition:* Institution servicing an account and assigning the account identifier to the account owner.**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

**66.1.30.20 AccountParties18***Definition:* Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		2039
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			2039
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2040
Or	Trustee <Trstee>	[1..5]	±		2042
Or	Nominee <Nmnee>	[1..1]	±		2044
Or}	JointOwner <JntOwnr>	[1..5]	±		2046
	SecondaryOwner <ScndryOwnr>	[0..*]	±		2048
	Beneficiary <Bnfcry>	[0..*]	±		2050
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		2052
	LegalGuardian <LglGuardn>	[0..*]	±		2054
	CustodianForMinor <CtdnForMnr>	[0..*]	±		2056
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		2058
	Administrator <Admstr>	[0..*]	±		2060
	OtherParty <OthrPty>	[0..*]	±		2062
	Granter <Grntr>	[0..*]	±		2062
	Settlor <Sttlr>	[0..*]	±		2065
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		2067
	Protector <Prctcr>	[0..*]	±		2069
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		2071

**Constraints**

- **AddressRule**

If ModificationScopeIndication is INSE (InsertNewDataSet), then one of the following must be present:

PrincipalAccountParty/.Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

CustodianForMinor/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SecondaryOwner/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Beneficiary/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

PowerOfAttorney/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

LegalGuardian/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SuccessorOnDeath/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Administrator/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

OtherParty/OtherPartyDetails/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Granter/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Settlor/Party/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SeniorManagingOfficial/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Protector/.ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet).

**66.1.30.20.1 ModificationScopeIndication <ModScpIndctn>**

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**66.1.30.20.2 PrincipalAccountParty <PrncplAcctPty>**

*Presence:* [0..1]

*Definition:* Main party associated with the account.

**PrincipalAccountParty** <PrncplAcctPty> contains one of the following **AccountParties13Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		2040
Or	Trustee <Trstee>	[1..5]	±		2042
Or	Nominee <Nmnee>	[1..1]	±		2044
Or}	JointOwner <JntOwnr>	[1..5]	±		2046

#### 66.1.30.20.2.1 PrimaryOwner <PmryOwnr>

*Presence:* [1..1]

*Definition:* Single owner of the investment account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

**PrimaryOwner <PmryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.2.2 Trustee <Trstee>

*Presence:* [1..5]

*Definition:* Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "[InvestmentAccountOwnershipInformation17](#)" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.2.3 Nominee <Nmnee>

*Presence:* [1..1]

*Definition:* Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.



**Nominee <Nmnee>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.2.4 JointOwner <JntOwnr>

*Presence:* [1..5]

*Definition:* Co-owner of the investment account when the ownership is assigned to more than one party.

**JointOwner <JntOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

### 66.1.30.20.3 SecondaryOwner <ScndryOwnr>

*Presence:* [0..\*]

*Definition:* Entity that is not the primary owner when the ownership of the investment account is split among several owners.

**SecondaryOwner <ScndryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.4 Beneficiary <Bnfcry>

*Presence:* [0..\*]

*Definition:* Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

**Beneficiary <Bnfcry>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.5 PowerOfAttorney <PwrOfAttny>

*Presence:* [0..\*]

*Definition:* Entity that was given the authority by another entity to act on its behalf.



**PowerOfAttorney <PwrOfAttny>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.6 LegalGuardian <LglGuardn>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

**LegalGuardian <LglGuardn>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.7 CustodianForMinor <CtdnForMnr>

*Presence:* [0..\*]

*Definition:* Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

**CustodianForMinor <CtdnForMnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.8 SuccessorOnDeath <SucssrOnDth>

*Presence:* [0..\*]

*Definition:* Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

**SuccessorOnDeath <SucssrOnDth>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.9 Administrator <Admstr>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.



**Administrator <Admstr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <OthrId>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.10 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "[ExtendedParty15](#)" on page 1977 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1977
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1978

#### 66.1.30.20.11 Granter <Grntr>

*Presence:* [0..\*]

*Definition:* Granter role in the hedge funds industry.

**Granter <Grntr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.12 Settlor <Sttlr>

*Presence:* [0..\*]

*Definition:* Entity that creates a trust or contributes assets to the trust.

**Settlor <Sttlr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.13 SeniorManagingOfficial <SnrMggOffcl>

*Presence:* [0..\*]

*Definition:* Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

**SeniorManagingOfficial <SnrMggOffcl>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.14 Protector <Prtctr>

*Presence:* [0..\*]

*Definition:* Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).

**Protector <Prtctr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1602
{Or	Organisation <Org>	[1..1]	±	C20	1602
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1603
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1605
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1605
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1606
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1606
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1607
	ValidatingParty <VldtngPty>	[0..1]	Text		1607
	CheckingParty <ChckngPty>	[0..1]	Text		1607
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1608
	CertificateType <CertTp>	[0..1]	±		1608
	CheckingDate <ChckngDt>	[0..1]	Date		1608
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1608
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1609
	SalaryRange <SlryRg>	[0..1]	Text		1609
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1609
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1609
	RiskLevel <RskLvl>	[0..1]	±		1609
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1609
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1610
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1610
	ClientIdentification <Clntld>	[0..1]	Text		1610
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1611
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1611
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1611
	Notification <Ntfctn>	[0..*]	±		1611
	FATCAFormType <FATCAFormTp>	[0..*]	±		1611
	FATCAStatus <FATCASts>	[0..*]	±		1612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1612
	CRSFormType <CRSFormTp>	[0..*]	±		1612
	CRSStatus <CRSSts>	[0..*]	±		1612
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1613
	OtherIdentification <Othrld>	[0..*]	±		1613
	TaxExemption <TaxXmptn>	[0..1]	±		1614
	TaxReporting <TaxRptg>	[0..*]	±		1614
	Language <Lang>	[0..1]	CodeSet	C34	1615
	MailType <MailTp>	[0..1]	±		1616
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1616
	MonetaryWealth <MntryWlth>	[0..1]	±		1616
	EquityValue <EqtyVal>	[0..1]	±		1616
	WorkingCapital <WorkgCptl>	[0..1]	±		1617
	CompanyLink <CpnyLk>	[0..1]	±		1617
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1617
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1617
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1618
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1618
	AccountingStatus <AcctgSts>	[0..1]	±		1619
	AdditionalInformation <AddtlInf>	[0..*]	±		1619
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1620

#### 66.1.30.20.15 RegisteredShareholderName <RegdShrhldrNm>

*Presence:* [0..1]

*Definition:* Party for which shares are to be registered.

**RegisteredShareholderName <RegdShrhldrNm>** contains one of the following elements (see "RegisteredShareholderName1Choice" on page 1985 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1986
	NamePrefix <NmPrfx>	[0..1]			1986
{Or	Code <Cd>	[1..1]	CodeSet		1986
Or}	Proprietary <Prtry>	[1..1]	±		1986
	GivenName <GvnNm>	[0..1]	Text		1987
	MiddleName <MddlNm>	[0..1]	Text		1987
	Name <Nm>	[1..1]	Text		1987
	PostalAddress <PstlAdr>	[1..5]	±	C23	1987
Or}	Organisation <Org>	[1..1]			1988
	Name <Nm>	[1..1]	Text		1989
	ShortName <ShrtNm>	[0..1]	Text		1989
	PostalAddress <PstlAdr>	[1..5]	±	C23	1989

### 66.1.30.21 FundParties1

*Definition:* Parties related to an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guarnt>	[0..1]	±		2072
	Auditor <Audtr>	[0..1]	±		2073
	Trustee <Trstee>	[0..1]	±		2073
	OtherParty <OthrPty>	[0..*]	±		2074

#### 66.1.30.21.1 Guarantor <Guarnt>

*Presence:* [0..1]

*Definition:* Guarantor of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00080.

**Guarantor <Guarnt>** contains the following elements (see "ContactAttributes5" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 66.1.30.21.2 Auditor <Audtr>

*Presence:* [0..1]

*Definition:* Party that regularly monitors compliance with the legal regulations.

**Auditor <Audtr>** contains the following elements (see "ContactAttributes5" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 66.1.30.21.3 Trustee <Trstee>

*Presence:* [0..1]

*Definition:* Legal owner of the financial instrument. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "[ContactAttributes5](#)" on page 2094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 66.1.30.21.4 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "[ExtendedParty13](#)" on page 2030 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		2030
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		2031

#### 66.1.30.22 RiskLevel2Choice

*Definition:* Choice of formats for the specification of the risk level.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2074
Or}	Proprietary <Prtry>	[1..1]	±		2075

##### 66.1.30.22.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Risk level expressed as code.

*Datatype:* "[RiskLevel1Code](#)" on page 2792

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

**66.1.30.22.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Risk level expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.30.23 CountryAndResidentialStatusType2***Definition:* Country and residential status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	2075
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2075

**66.1.30.23.1 Country <Ctry>***Presence:* [1..1]*Definition:* Country to which the residential status is applicable.*Impacted by:* [C12 "Country"](#)*Datatype:* ["CountryCode"](#) on page 2726**Constraints**

- Country**

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

**66.1.30.23.2 ResidentialStatus <ResdtlSts>***Presence:* [1..1]*Definition:* Residential status of the organisation or individual, for example, non-permanent resident.*Datatype:* ["ResidentialStatus1Code"](#) on page 2791

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

### 66.1.30.24 Intermediary48

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2076
	Account <Acct>	[0..1]			2076
	AccountIdentification <AcctId>	[0..1]	Text		2077
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2077
	AccountName <AcctNm>	[0..1]	Text		2077
	AccountServicer <AcctSvcr>	[1..1]	±		2077
	RegistrationAddress <RegnAdr>	[0..1]	±		2078
	Role <Role>	[0..1]			2078
{Or	Code <Cd>	[1..1]	CodeSet		2078
Or}	Proprietary <Prtry>	[1..1]	±		2080
	ContactPerson <CtctPrsn>	[0..1]	±		2080

#### 66.1.30.24.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary or a party related to the transfer.

**Identification <Id>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.30.24.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Identification of the account.



**Account <Acct>** contains the following **Account34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2077
	AccountDesignation <AcctDsgnt>	[0..1]	Text		2077
	AccountName <AcctNm>	[0..1]	Text		2077
	AccountServicer <AcctSvcr>	[1..1]	±		2077
	RegistrationAddress <RegnAdr>	[0..1]	±		2078

#### 66.1.30.24.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.24.2.2 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.24.2.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.24.2.4 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

**66.1.30.24.2.5 RegistrationAddress <RegnAdr>***Presence:* [0..1]*Definition:* Address of the nominee company that holds the assets at the transfer agent or International Central Securities Depository or Central Securities Depository on behalf of the party.**RegistrationAddress <RegnAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

**66.1.30.24.3 Role <Role>***Presence:* [0..1]*Definition:* Function performed by the intermediary or related party.**Role <Role>** contains one of the following **Role8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2078
Or}	Proprietary <Prtry>	[1..1]	±		2080

**66.1.30.24.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Role of the party in the activity expressed as a code.*Datatype:* "InvestmentFundRole8Code" on page 2757

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.

CodeName	Name	Definition
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.

#### 66.1.30.24.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role of the party in the activity expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.30.24.4 ContactPerson <CtctPrsn>

*Presence:* [0..1]

*Definition:* Contact person and contact information.

**ContactPerson <CtctPrsn>** contains the following elements (see "[ContactIdentification2](#)" on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2318
	GivenName <GvnNm>	[0..1]	Text		2318
	Name <Nm>	[1..1]	Text		2319
	PhoneNumber <PhneNb>	[0..1]	Text		2319
	MobileNumber <MobNb>	[0..1]	Text		2319
	FaxNumber <FaxNb>	[0..1]	Text		2319
	EmailAddress <EmailAdr>	[0..1]	Text		2319

#### 66.1.30.25 PartyIdentificationAndAccount194

*Definition:* Party and account details.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

#### 66.1.30.25.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification123Choice](#)" on page 2083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2083
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2083
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2083

#### 66.1.30.25.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal Entity Identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2830

#### 66.1.30.25.3 AlternateIdentification <AltrnId>

*Presence:* [0..1]

*Definition:* Alternate identification for the party.

**AlternateIdentification <AltrnId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 2122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		2122
	Country <Ctry>	[1..1]	CodeSet	C12	2122
	AlternateIdentification <AltrnId>	[1..1]	Text		2122

#### 66.1.30.25.4 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

**SafekeepingAccount <SfkpgAcct>** contains the following elements (see "[SecuritiesAccount19](#)" on page 1284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1284
	Type <Tp>	[0..1]	±		1284
	Name <Nm>	[0..1]	Text		1284

#### 66.1.30.25.5 ProcessingDate <PrcgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the instruction was processed by the specified party.

**ProcessingDate <PrcgDt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

#### 66.1.30.25.6 ProcessingIdentification <PrcgId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction for the party identified.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.30.25.7 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the party.

*Impacted by:* [C4 "AdditonalDetailsGuideline"](#)

**AdditionalInformation <AddtlInf>** contains the following elements (see "[PartyTextInformation6](#)" on page 2102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2102
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2102
	RegistrationDetails <RegnDtls>	[0..1]	Text		2102
	RegistrationAddress <RegnAdr>	[0..1]	±		2102

**Constraints**

- **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**66.1.30.26 PartyIdentification123Choice**

*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	C4	2083
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2083
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2083

**66.1.30.26.1 AnyBIC <AnyBIC>**

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

**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.

**66.1.30.26.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party, using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.30.26.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

### 66.1.30.27 DataBaseCheck1

*Definition:* Information about a database.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		2084
	Identification <Id>	[1..1]	Text		2084

#### 66.1.30.27.1 DatabaseCheck <DBChck>

*Presence:* [1..1]

*Definition:* Indicates whether the individual or organisation is listed in an on-line global Know Your Customer (KYC) database.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.30.27.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the database.

*Datatype:* "Max35Text" on page 2837

### 66.1.30.28 Intermediary40

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2085
	Account <Acct>	[0..1]			2085
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2086
	Role <Role>	[0..1]	±		2086



**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**66.1.30.28.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.30.28.2 Account <Acct>**

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2085
	AccountServicer <AcctSvcr>	[0..1]	±		2085

**66.1.30.28.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.30.28.2.2 AccountServicer <AcctSvcr>**

*Presence:* [0..1]

*Definition:* Institution servicing the account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.30.28.3 OrderOriginatorEligibility <OrdOrgtrElgblty>***Presence:* [0..1]*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.*Datatype:* "OrderOriginatorEligibility1Code" on page 2766

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

**66.1.30.28.4 Role <Role>***Presence:* [0..1]*Definition:* Function performed by the intermediary.**Role <Role>** contains one of the following elements (see "InvestmentFundRole2Choice" on page 1827 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1827
Or}	Proprietary <Prtry>	[1..1]	±		1828

**66.1.30.29 PartyIdentification140***Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2086
	LEI <LEI>	[0..1]	IdentifierSet		2087

**66.1.30.29.1 Party <Pty>***Presence:* [1..1]*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "PartyIdentification126Choice" on page 1983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1983
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1984

#### 66.1.30.29.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.30.30 Intermediary11

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2087
	Account <Acct>	[0..1]	±		2087
{Or	Role <Role>	[0..1]	CodeSet		2088
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		2089

#### 66.1.30.30.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.30.30.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "Account7" on page 1298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1298
	AccountServicer <AcctSvcr>	[0..1]	±		1298

### 66.1.30.30.3 Role <Role>

*Presence:* [0..1]

**Warning** Either Role or ExtendedRole may be present, but not both.

*Definition:* Function performed by the intermediary.

*Datatype:* "InvestmentFundRole2Code" on page 2752

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This

CodeName	Name	Definition
		intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

#### 66.1.30.30.4 ExtendedRole <XtndedRole>

*Presence:* [0..1]

**Warning** Either Role or ExtendedRole may be present, but not both.

*Definition:* Function performed by the intermediary.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.30.31 Role4Choice

*Definition:* Choice of format for a party role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2089
Or}	Proprietary <Prtry>	[1..1]	±		2090

#### 66.1.30.31.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role of the party in the activity expressed as a code.

*Datatype:* "InvestmentFundRole2Code" on page 2752

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and

CodeName	Name	Definition
		related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

#### 66.1.30.31.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role of the party in the activity expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.30.32 OwnershipBeneficiaryRate1

*Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		2091
	Fraction <Frctn>	[0..1]	Text		2091

#### Constraints

- **OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

#### 66.1.30.32.1 Rate <Rate>

*Presence:* [0..1]

*Definition:* Ownership or beneficial ownership expressed as a percentage.

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.30.32.2 Fraction <Frctn>

*Presence:* [0..1]

*Definition:* Ownership or beneficial ownership expressed as a fraction or another form.

*Datatype:* "[Max35Text](#)" on page 2837

### 66.1.30.33 RegulatoryInformation1

*Definition:* Regulatory information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		2091
	Branch <Brnch>	[0..1]	Text		2092
	Group <Grp>	[0..1]	Text		2092
	Other <Othr>	[0..1]	Text		2092

#### 66.1.30.33.1 Sector <Sctr>

*Presence:* [0..1]

*Definition:* Sector of economic activity, for example, SAE in the Italian market.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.33.2 Branch <Brnch>

*Presence:* [0..1]

*Definition:* Branch of economic activity, for example, RAE in the Italian market.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.33.3 Group <Grp>

*Presence:* [0..1]

*Definition:* Group of economic activity, for example, a code issued by a regulator.

*Datatype:* "Max35Text" on page 2837

#### 66.1.30.33.4 Other <Othr>

*Presence:* [0..1]

*Definition:* Other regulatory information.

*Datatype:* "Max35Text" on page 2837

### 66.1.30.34 CertificationType1Choice

*Definition:* Choice of formats for the specification of the certificate type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2092
Or}	Proprietary <Prtry>	[1..1]	±		2093

#### 66.1.30.34.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Certificate type expressed as a code.

*Datatype:* "CertificateType2Code" on page 2717

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCUC	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.



CodeName	Name	Definition
PASS	Passport	Government issued form of picture identification - passport.
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

#### 66.1.30.34.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Certificate type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.35 MailType1Choice

*Definition:* Choice of formats for the type of mail.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2093
Or}	Proprietary <Prtry>	[1..1]	±		2093

##### 66.1.30.35.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Mail type expressed as a code.

*Datatype:* "[MailType1Code](#)" on page 2763

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

##### 66.1.30.35.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Mail type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.30.36 ContactAttributes5

*Definition:* Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2094
	PostalAddress <PstlAdr>	[0..1]	±		2094
	PhoneNumber <PhneNb>	[0..1]	Text		2095
	FaxNumber <FaxNb>	[0..1]	Text		2095
	EmailAddress <EmailAdr>	[0..1]	Text		2095
	URLAddress <URLAdr>	[0..1]	Text		2095
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2095
	LEI <LEI>	[0..1]	IdentifierSet		2096

#### 66.1.30.36.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name of the party.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.30.36.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Address of the party.

**PostalAddress <PstIAdr>** contains the following elements (see "[PostalAddress1](#)" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.30.36.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Phone number of the party.

*Datatype:* "[PhoneNumber](#)" on page 2838

#### 66.1.30.36.4 FaxNumber <FaxNb>

*Presence:* [0..1]

*Definition:* Fax number of the party.

*Datatype:* "[PhoneNumber](#)" on page 2838

#### 66.1.30.36.5 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail) for the party.

*Datatype:* "[Max256Text](#)" on page 2837

#### 66.1.30.36.6 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 2836

#### 66.1.30.36.7 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C4 "AnyBIC"](#)

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2823

**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.

**66.1.30.36.8 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

**66.1.30.37 Intermediary46**

*Definition:* Identification of a party and its role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2096
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2097
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2097
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		2097
	Account <Acct>	[0..1]			2097
	Identification <Id>	[0..1]	Text		2098
	AccountServicer <AcctSvcr>	[1..1]	±		2098
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		2098
	Role <Role>	[0..1]	±		2098
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		2098
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		2099
	NameAndAddress <NmAndAdr>	[0..1]	±		2099

**66.1.30.37.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2097
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		2097

**66.1.30.37.1.1 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:* C4 "AnyBIC"*Datatype:* "AnyBICDec2014Identifier" on page 2823**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.

**66.1.30.37.1.2 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 "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.30.37.2 LegalEntityIdentifier <LglNttyldr>***Presence:* [0..1]*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".*Datatype:* "LEIIdentifier" on page 2830**66.1.30.37.3 Account <Acct>***Presence:* [0..1]*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.**Account <Acct>** contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2098
	AccountServicer <AcctSvcr>	[1..1]	±		2098

**66.1.30.37.3.1 Identification <Id>***Presence:* [0..1]*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.*Datatype:* "Max35Text" on page 2837**66.1.30.37.3.2 AccountServicer <AcctSvcr>***Presence:* [1..1]*Definition:* Institution servicing an account and assigning the account identifier to the account owner.**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

**66.1.30.37.4 WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>***Presence:* [0..1]*Definition:* Non-enforcement of the right to all or part of a commission by the party entitled to the commission.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.30.37.5 Role <Role>***Presence:* [0..1]*Definition:* Role or function performed by the intermediary.**Role <Role>** contains one of the following elements (see "PartyRole2Choice" on page 2112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2112
Or}	Proprietary <Prtry>	[1..1]	±		2114

**66.1.30.37.6 PrimaryCommunicationAddress <PmryComAdr>***Presence:* [0..\*]*Definition:* Communication device number or electronic address used for communication.

**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.30.37.7 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1301 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1302
{Or	Code <Cd>	[1..1]	CodeSet		1302
Or}	Proprietary <Prtry>	[1..1]	±		1302
	Email <Email>	[0..1]	Text		1303
	Phone <Phne>	[0..1]	Text		1303
	Mobile <Mob>	[0..1]	Text		1303
	FaxNumber <FaxNb>	[0..1]	Text		1303
	TelexAddress <TlxAdr>	[0..1]	Text		1303
	URLAddress <URLAdr>	[0..1]	Text		1303

#### 66.1.30.37.8 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

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

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress4](#)" on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

### 66.1.30.38 PartyIdentification90Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C5	2100
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2100
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2100

#### 66.1.30.38.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C5 "AnyBIC"](#)

*Datatype:* "[AnyBICIdentifier](#)" on page 2823

#### Constraints

- **AnyBIC**

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

#### 66.1.30.38.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.30.38.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]



*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

### 66.1.30.39 ReferredAgent3

*Definition:* Provides the placement agent identification for a hedge fund if the investor was referred by one.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		2101
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		2101

#### Constraints

- **ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

#### 66.1.30.39.1 Referred <Rfrd>

*Presence:* [1..1]

*Definition:* Indicates if the investor was referred by a placement agent.

*Datatype:* "Referred1Code" on page 2780

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

#### 66.1.30.39.2 ReferredPlacementAgent <RfrdPlcmntAgt>

*Presence:* [0..1]

*Definition:* Placement agent that referred the investor.

**ReferredPlacementAgent <RfrdPlcmntAgt>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.30.40 PartyTextInformation6

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2102
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2102
	RegistrationDetails <RegnDtls>	[0..1]	Text		2102
	RegistrationAddress <RegnAdr>	[0..1]	±		2102

##### Constraints

- **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

##### 66.1.30.40.1 DeclarationDetails <DclrtnDtls>

*Presence:* [0..1]

*Definition:* Provides declaration details narrative relative to the party.

*Datatype:* "Max350Text" on page 2837

##### 66.1.30.40.2 PartyContactDetails <PtyCtctDtls>

*Presence:* [0..1]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* "Max140Text" on page 2836

##### 66.1.30.40.3 RegistrationDetails <RegnDtls>

*Presence:* [0..1]

*Definition:* Provides information required for the registration.

*Datatype:* "Max350Text" on page 2837

##### 66.1.30.40.4 RegistrationAddress <RegnAdr>

*Presence:* [0..1]

*Definition:* Address of the nominee company that holds the assets at the transfer agent or International Central Securities Depository or Central Securities Depository on behalf of the party.

**RegistrationAddress <RegnAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.30.41 PartyIdentification132

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

##### 66.1.30.41.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

##### 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.

##### 66.1.30.41.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification2Choice" on page 1430 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1431
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1431
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1432
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1432
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1432
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1432
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1432
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1432
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1432
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1433
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1433
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1433
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1433
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1433
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1433
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1433
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1434
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1434
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1434
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1434
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1434
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1434
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1435

### 66.1.30.41.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.30.41.4 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.30.41.5 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2830

#### 66.1.30.42 Intermediary49

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2106
	Account <Acct>	[0..1]			2106
	Identification <Id>	[1..1]	Text		2106
	AccountServicer <AcctSvcr>	[0..1]	±		2106
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		2107
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		2107
	Role <Role>	[0..1]	±		2107

**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**66.1.30.42.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.30.42.2 Account <Acct>**

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2106
	AccountServicer <AcctSvcr>	[0..1]	±		2106

**66.1.30.42.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.30.42.2.2 AccountServicer <AcctSvcr>**

*Presence:* [0..1]

*Definition:* Institution servicing the account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.30.42.3 OrderOriginatorEligibility <OrdOrgtrElgblty>***Presence:* [0..1]*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.*Datatype:* "OrderOriginatorEligibility1Code" on page 2766

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

**66.1.30.42.4 TradingPartyCapacity <TradgPtyCpcty>***Presence:* [0..1]*Definition:* Capacity of the party executing an order.*Datatype:* "TradingCapacity8Code" on page 2812

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

**66.1.30.42.5 Role <Role>***Presence:* [0..1]*Definition:* Function performed by the intermediary.**Role <Role>** contains one of the following elements (see "InvestmentFundRole2Choice" on page 1827 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1827
Or}	Proprietary <Prtry>	[1..1]	±		1828

**66.1.30.43 CRSForm1Choice***Definition:* Choice of formats for the type of Common Reporting Standard (CRS) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2108
Or}	Proprietary <Prtry>	[1..1]	±		2108

#### 66.1.30.43.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

*Datatype:* "CRSFormType1Code" on page 2727

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.
CER7	Standardised	Standardised industry coding system for the entity.

#### 66.1.30.43.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.44 PartyIdentification113

*Definition:* Identification of a party.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.30.44.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "[PartyIdentification90Choice](#)" on page 2100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C5	2100
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		2100
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		2100

#### 66.1.30.44.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2830

#### 66.1.30.45 CRSStatus4

*Definition:* Common Reporting Standard (CRS) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2109
{Or	Code <Cd>	[1..1]	CodeSet		2110
Or}	Proprietary <Prtry>	[1..1]	±		2111
	Source <Src>	[0..1]			2111
{Or	Code <Cd>	[1..1]	CodeSet		2111
Or}	Proprietary <Prtry>	[1..1]	±		2112
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C12	2112

#### 66.1.30.45.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Common Reporting Standard (CRS) status.

**Type <Tp>** contains one of the following **CRSStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2110
Or}	Proprietary <Prtry>	[1..1]	±		2111

#### 66.1.30.45.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Common Reporting Standard (CRS) status expressed as a code.

*Datatype:* "CRSStatus1Code" on page 2728

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depositary, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.

CodeName	Name	Definition
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

#### 66.1.30.45.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Common Reporting Standard (CRS) status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.30.45.2 Source <Src>

*Presence:* [0..1]

*Definition:* Source of the Common Reporting Standard (CRS) status.

**Source <Src>** contains one of the following **CRSSource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2111
Or}	Proprietary <Prtry>	[1..1]	±		2112

#### 66.1.30.45.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Source of the Common Reporting Standard (CRS) status expressed as a code.

*Datatype:* "[CRSSourceStatus1Code](#)" on page 2727

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

**66.1.30.45.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Source of Common Reporting Standard (CRS) status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.30.45.3 ExceptionalReportingCountry <XcptnlRptgCtry>***Presence:* [0..1]*Definition:* Reporting country for the CRS status when there is an exception at the country level.*Impacted by:* [C12 "Country"](#)*Datatype:* ["CountryCode"](#) on page 2726**Constraints**

- Country**

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

**66.1.30.46 PartyRole2Choice***Definition:* Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2112
Or}	Proprietary <Prtry>	[1..1]	±		2114

**66.1.30.46.1 Code <Cd>***Presence:* [1..1]*Definition:* Role expressed as a code.*Datatype:* ["InvestmentFundRole6Code"](#) on page 2753

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.

CodeName	Name	Definition
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in

CodeName	Name	Definition
		accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

#### 66.1.30.46.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.30.47 Intermediary43

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.30.47.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.30.47.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Account <Acct>** contains the following **Account27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116

**66.1.30.47.2.1 Identification <Id>***Presence:* [0..1]*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.*Datatype:* "Max35Text" on page 2837**66.1.30.47.2.2 AccountServicer <AcctSvcr>***Presence:* [1..1]*Definition:* Institution that maintains the records where the account is held.**AccountServicer <AcctSvcr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.30.47.3 Role <Role>***Presence:* [0..1]*Definition:* Function performed by the intermediary.**Role <Role>** contains one of the following elements (see "Role4Choice" on page 2089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2089
Or}	Proprietary <Prtry>	[1..1]	±		2090

**66.1.30.47.4 ContactPerson <CtctPrsn>***Presence:* [0..1]*Definition:* Contact person and contact information.**ContactPerson <CtctPrsn>** contains the following elements (see "ContactIdentification2" on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2318
	GivenName <GvnNm>	[0..1]	Text		2318
	Name <Nm>	[1..1]	Text		2319
	PhoneNumber <PhneNb>	[0..1]	Text		2319
	MobileNumber <MobNb>	[0..1]	Text		2319
	FaxNumber <FaxNb>	[0..1]	Text		2319
	EmailAddress <EmailAdr>	[0..1]	Text		2319



### 66.1.30.48 KYCCheckType1Choice

*Definition:* Choice of formats for the specification of the Know Your Customer (KYC) check type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2117
Or}	Proprietary <Prtry>	[1..1]	±		2117

#### 66.1.30.48.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of Know Your Customer (KYC) check type expressed as a code.

*Datatype:* "KnowYourCustomerCheckType1Code" on page 2762

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

#### 66.1.30.48.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Know Your Customer (KYC) check type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.30.49 PartyIdentification139

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.30.49.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

### 66.1.30.49.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

### 66.1.30.50 PartyTextInformation1

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		2118
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		2118
	RegistrationDetails <RegnDtls>	[0..1]	Text		2118

#### Constraints

- AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

#### 66.1.30.50.1 DeclarationDetails <DclrtnDtls>

*Presence:* [0..1]

*Definition:* Provides declaration details narrative relative to the party.

*Datatype:* "Max350Text" on page 2837

#### 66.1.30.50.2 PartyContactDetails <PtyCtctDtls>

*Presence:* [0..1]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* "Max140Text" on page 2836

#### 66.1.30.50.3 RegistrationDetails <RegnDtls>

*Presence:* [0..1]

*Definition:* Provides information required for the registration.

*Datatype:* "Max350Text" on page 2837

### 66.1.30.51 PartyIdentification141

*Definition:* Identification of an entity involved in an activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2119
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2119
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2120
Or}	Country <Ctry>	[1..1]	CodeSet	C12	2120
	LEI <LEI>	[0..1]	IdentifierSet		2120
	AlternateIdentification <AltrnId>	[0..1]	±		2120
	ProcessingDate <PrcgDt>	[0..1]	±		2121
	ProcessingIdentification <PrcgId>	[0..1]	Text		2121
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	2121

#### 66.1.30.51.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify the organisation.

**Identification <Id>** contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2119
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2120
Or}	Country <Ctry>	[1..1]	CodeSet	C12	2120

##### 66.1.30.51.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

**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.

**66.1.30.51.1.2 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

**66.1.30.51.1.3 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* [C12 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2726

**Constraints**

- **Country**

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

**66.1.30.51.2 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2830

**66.1.30.51.3 AlternateIdentification <Altrnid>**

*Presence:* [0..1]

*Definition:* Alternate identification for the party.

**AlternateIdentification <AltrnId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 2122 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		2122
	Country <Ctry>	[1..1]	CodeSet	C12	2122
	AlternateIdentification <AltrnId>	[1..1]	Text		2122

#### 66.1.30.51.4 ProcessingDate <PrcgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the instruction was processed by the specified party.

**ProcessingDate <PrcgDt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

#### 66.1.30.51.5 ProcessingIdentification <PrcgId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction for the party identified.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.30.51.6 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the party.

*Impacted by:* [C3 "AdditionalDetailsGuideline"](#)

**AdditionalInformation <AddtlInf>** contains the following elements (see "[PartyTextInformation1](#)" on page 2118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtIs>	[0..1]	Text		2118
	PartyContactDetails <PtyCtctDtIs>	[0..1]	Text		2118
	RegistrationDetails <RegnDtIs>	[0..1]	Text		2118

**Constraints**

- **AdditionalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**66.1.30.52 AlternatePartyIdentification7**

*Definition:* Alternate identification for a party using an identification type, a country code and a text field.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		2122
	Country <Ctry>	[1..1]	CodeSet	C12	2122
	AlternateIdentification <AltrnId>	[1..1]	Text		2122

**66.1.30.52.1 IdentificationType <IdTp>**

*Presence:* [1..1]

*Definition:* Specifies the type of alternate identification of the party identified.

**IdentificationType <IdTp>** contains one of the following elements (see "[IdentificationType42Choice](#)" on page 1569 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1569
Or}	Proprietary <Prtry>	[1..1]	±		1570

**66.1.30.52.2 Country <Ctry>**

*Presence:* [1..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:* [C12 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2726

**Constraints**

- **Country**

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

**66.1.30.52.3 AlternateIdentification <AltrnId>**

*Presence:* [1..1]

*Definition:* Alternate identification for a party.

*Datatype:* ["Max35Text"](#) on page 2837

## **66.1.31      Payment**

### **66.1.31.1 PaymentInstrument20**

*Definition:* Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2125
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2125
	Debtor <Dbtr>	[0..1]	±		2128
	DebtorAccount <DbtrAcct>	[0..1]			2129
	Name <Nm>	[0..1]	Text		2129
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2129
	Other <Othr>	[0..1]	±		2129
	DebtorAgent <DbtrAgt>	[0..1]			2130
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2130
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2130
	NameAndAddress <NmAndAdr>	[0..1]	±		2131
	LEI <LEI>	[0..1]	IdentifierSet		2131
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2132
	BranchIdentification <BrnchId>	[0..1]	±		2132
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2132
	Name <Nm>	[0..1]	Text		2132
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2132
	Other <Othr>	[0..1]	±		2133
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2133
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2133
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2134
	NameAndAddress <NmAndAdr>	[0..1]	±		2135
	LEI <LEI>	[0..1]	IdentifierSet		2135
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2135
	BranchIdentification <BrnchId>	[0..1]	±		2135
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2135
	Name <Nm>	[0..1]	Text		2136
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2136
	Other <Othr>	[0..1]	±		2136
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2137
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2137



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2137
	NameAndAddress <NmAndAdr>	[0..1]	±		2138
	LEI <LEI>	[0..1]	IdentifierSet		2138
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2139
	BranchIdentification <Brnchld>	[0..1]	±		2139
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2139
	Name <Nm>	[0..1]	Text		2139
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2139
	Other <Othr>	[0..1]	±		2140
	CreditorAgent <CdtrAgt>	[1..1]			2140
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2140
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2141
	NameAndAddress <NmAndAdr>	[0..1]	±		2141
	LEI <LEI>	[0..1]	IdentifierSet		2142
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2142
	BranchIdentification <Brnchld>	[0..1]	±		2142
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2142
	Name <Nm>	[0..1]	Text		2143
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2143
	Other <Othr>	[0..1]	±		2143
	Creditor <Cdtr>	[0..1]	±		2143
	CreditorAccount <CdtrAcct>	[1..1]			2144
	Name <Nm>	[0..1]	Text		2144
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2144
	Other <Othr>	[0..1]	±		2144

#### 66.1.31.1.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer was intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.1.2 CreditTransferDetails <CdtTrfDtls>

*Presence:* [0..1]

*Definition:* Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		2128
	DebtorAccount <DbtrAcct>	[0..1]			2129
	Name <Nm>	[0..1]	Text		2129
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2129
	Other <Othr>	[0..1]	±		2129
	DebtorAgent <DbtrAgt>	[0..1]			2130
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2130
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2130
	NameAndAddress <NmAndAdr>	[0..1]	±		2131
	LEI <LEI>	[0..1]	IdentifierSet		2131
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2132
	BranchIdentification <BrnchId>	[0..1]	±		2132
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2132
	Name <Nm>	[0..1]	Text		2132
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2132
	Other <Othr>	[0..1]	±		2133
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2133
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2133
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2134
	NameAndAddress <NmAndAdr>	[0..1]	±		2135
	LEI <LEI>	[0..1]	IdentifierSet		2135
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2135
	BranchIdentification <BrnchId>	[0..1]	±		2135
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2135
	Name <Nm>	[0..1]	Text		2136
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2136
	Other <Othr>	[0..1]	±		2136
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2137
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2137
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2137
	NameAndAddress <NmAndAdr>	[0..1]	±		2138

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		2138
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2139
	BranchIdentification <BrnchId>	[0..1]	±		2139
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2139
	Name <Nm>	[0..1]	Text		2139
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2139
	Other <Othr>	[0..1]	±		2140
	CreditorAgent <CdtrAgt>	[1..1]			2140
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2140
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2141
	NameAndAddress <NmAndAdr>	[0..1]	±		2141
	LEI <LEI>	[0..1]	IdentifierSet		2142
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2142
	BranchIdentification <BrnchId>	[0..1]	±		2142
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2142
	Name <Nm>	[0..1]	Text		2143
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2143
	Other <Othr>	[0..1]	±		2143
	Creditor <Cdtr>	[0..1]	±		2143
	CreditorAccount <CdtrAcct>	[1..1]			2144
	Name <Nm>	[0..1]	Text		2144
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2144
	Other <Othr>	[0..1]	±		2144

#### 66.1.31.1.2.1 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owed an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.1.2.2 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry was made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2129
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2129
	Other <Othr>	[0..1]	±		2129

##### 66.1.31.1.2.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.31.1.2.2.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* [C19 "IBAN"](#)

*Datatype:* "[IBAN2007Identifier](#)" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.1.2.2.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.1.2.3 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing the account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2130
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2130
	NameAndAddress <NmAndAdr>	[0..1]	±		2131
	LEI <LEI>	[0..1]	IdentifierSet		2131
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2132
	BranchIdentification <BrnchId>	[0..1]	±		2132

##### 66.1.31.1.2.3.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "[BICFIDec2014Identifier](#)" on page 2824

#### 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.

##### 66.1.31.1.2.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.1.2.3.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.1.2.3.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.31.1.2.3.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.1.2.3.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.1.2.4 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2132
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2132
	Other <Othr>	[0..1]	±		2133

##### 66.1.31.1.2.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.1.2.4.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and



content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.1.2.4.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.1.2.5 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2133
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2134
	NameAndAddress <NmAndAdr>	[0..1]	±		2135
	LEI <LEI>	[0..1]	IdentifierSet		2135
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2135
	BranchIdentification <BrnchId>	[0..1]	±		2135

#### 66.1.31.1.2.5.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.1.2.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

**66.1.31.1.2.5.3 NameAndAddress <NmAndAdr>***Presence:* [0..1]*Definition:* Name and address of the party.**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

**66.1.31.1.2.5.4 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identification as an alternate identification for the party.*Datatype:* ["LEIIdentifier"](#) on page 2830**66.1.31.1.2.5.5 ProprietaryIdentification <PrtryId>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.*Datatype:* ["Max35Text"](#) on page 2837**66.1.31.1.2.5.6 BranchIdentification <BrnchId>***Presence:* [0..1]*Definition:* Identification of a specific branch of the financial institution.**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

**66.1.31.1.2.6 IntermediaryAgent1Account <IntrmyAgt1Acct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2136
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2136
	Other <Othr>	[0..1]	±		2136

#### 66.1.31.1.2.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.1.2.6.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.1.2.6.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.1.2.7 IntermediaryAgent2 <IntrmyAgt2>***Presence:* [0..1]*Definition:* Agent between the debtor's agent and the creditor's agent.**IntermediaryAgent2 <IntrmyAgt2>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2137
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2137
	NameAndAddress <NmAndAdr>	[0..1]	±		2138
	LEI <LEI>	[0..1]	IdentifierSet		2138
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2139
	BranchIdentification <BrnchId>	[0..1]	±		2139

**66.1.31.1.2.7.1 BICFI <BICFI>***Presence:* [0..1]*Definition:* Identification of the financial institution expressed as a BIC.*Impacted by:* C5 "BICFI"*Datatype:* "BICFIDec2014Identifier" on page 2824**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.

**66.1.31.1.2.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>***Presence:* [0..1]*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.1.2.7.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.1.2.7.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIdentifier" on page 2830

#### 66.1.31.1.2.7.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.1.2.7.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.1.2.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2139
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2139
	Other <Othr>	[0..1]	±		2140

##### 66.1.31.1.2.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.1.2.8.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.1.2.8.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.1.2.9 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing the account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2140
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2141
	NameAndAddress <NmAndAdr>	[0..1]	±		2141
	LEI <LEI>	[0..1]	IdentifierSet		2142
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2142
	BranchIdentification <BrnchId>	[0..1]	±		2142

#### 66.1.31.1.2.9.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.



*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.1.2.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.1.2.9.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.1.2.9.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2830

#### 66.1.31.1.2.9.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.31.1.2.9.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.1.2.10 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry was made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2143
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2143
	Other <Othr>	[0..1]	±		2143

**66.1.31.1.2.10.1 Name <Nm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**66.1.31.1.2.10.2 IBAN <IBAN>***Presence:* [0..1]*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.*Impacted by:* C19 "IBAN"*Datatype:* "IBAN2007Identifier" on page 2828**Constraints****• IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**66.1.31.1.2.10.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.1.2.11 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that received an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.1.2.12 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry was posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2144
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2144
	Other <Othr>	[0..1]	±		2144

##### 66.1.31.1.2.12.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.1.2.12.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.1.2.12.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

### 66.1.31.2 PaymentInstrument14

*Definition:* Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2147
	CreditTransferDetails <CdtTrfDtls>	[0..1]			2147
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2161
	BranchIdentification <Brnchld>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2164
	BranchIdentification <Brnchld>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

#### 66.1.31.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.2.2 CreditTransferDetails <CdtTrfDtls>

*Presence:* [0..1]

*Definition:* Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.



**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		2150
	DebtorAccount <DbtrAcct>	[0..1]			2151
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151
	DebtorAgent <DbtrAgt>	[0..1]			2152
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2154
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2155
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2157
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2159
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2161
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162
	CreditorAgent <CdtrAgt>	[1..1]			2162
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2164
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165
	Creditor <Cdtr>	[0..1]	±		2165
	CreditorAccount <CdtrAcct>	[1..1]			2166
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

#### 66.1.31.2.2.1 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.2.2.2 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2151
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2151
	Other <Othr>	[0..1]	±		2151

##### 66.1.31.2.2.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.31.2.2.2.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* [C19 "IBAN"](#)

*Datatype:* "[IBAN2007Identifier](#)" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.2.2.2.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.2.2.3 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing the account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2152
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2152
	NameAndAddress <NmAndAdr>	[0..1]	±		2153
	LEI <LEI>	[0..1]	IdentifierSet		2153
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2154
	BranchIdentification <BrnchId>	[0..1]	±		2154

##### 66.1.31.2.2.3.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "[BICFIDec2014Identifier](#)" on page 2824

#### 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.

##### 66.1.31.2.2.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.2.2.3.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.2.2.3.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.31.2.2.3.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.2.2.3.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.2.2.4 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2154
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2154
	Other <Othr>	[0..1]	±		2155

##### 66.1.31.2.2.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.2.2.4.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.2.2.4.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.2.2.5 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2155
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2156
	NameAndAddress <NmAndAdr>	[0..1]	±		2157
	LEI <LEI>	[0..1]	IdentifierSet		2157
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2157
	BranchIdentification <BrnchId>	[0..1]	±		2157

#### 66.1.31.2.2.5.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.2.2.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430



**66.1.31.2.2.5.3 NameAndAddress <NmAndAdr>***Presence:* [0..1]*Definition:* Name and address of the party.**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

**66.1.31.2.2.5.4 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identification as an alternate identification for the party.*Datatype:* "[LEIIdentifier](#)" on page 2830**66.1.31.2.2.5.5 ProprietaryIdentification <PrtryId>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.*Datatype:* "[Max35Text](#)" on page 2837**66.1.31.2.2.5.6 BranchIdentification <BrnchId>***Presence:* [0..1]*Definition:* Identification of a specific branch of the financial institution.**BranchIdentification <BrnchId>** contains the following elements (see "[BranchData2](#)" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

**66.1.31.2.2.6 IntermediaryAgent1Account <IntrmyAgt1Acct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2158
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2158
	Other <Othr>	[0..1]	±		2158

#### 66.1.31.2.2.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.2.2.6.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.2.2.6.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.2.2.7 IntermediaryAgent2 <IntrmyAgt2>***Presence:* [0..1]*Definition:* Agent between the debtor's agent and the creditor's agent.**IntermediaryAgent2 <IntrmyAgt2>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2159
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2159
	NameAndAddress <NmAndAdr>	[0..1]	±		2160
	LEI <LEI>	[0..1]	IdentifierSet		2160
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2161
	BranchIdentification <BrnchId>	[0..1]	±		2161

**66.1.31.2.2.7.1 BICFI <BICFI>***Presence:* [0..1]*Definition:* Identification of the financial institution expressed as a BIC.*Impacted by:* C5 "BICFI"*Datatype:* "BICFIDec2014Identifier" on page 2824**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.

**66.1.31.2.2.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>***Presence:* [0..1]*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.2.2.7.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.2.2.7.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.31.2.2.7.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.2.2.7.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.2.2.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2161
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2161
	Other <Othr>	[0..1]	±		2162

##### 66.1.31.2.2.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.2.2.8.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.2.2.8.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.2.2.9 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing the account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2162
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2163
	NameAndAddress <NmAndAdr>	[0..1]	±		2163
	LEI <LEI>	[0..1]	IdentifierSet		2164
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2164
	BranchIdentification <BrnchId>	[0..1]	±		2164

#### 66.1.31.2.2.9.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.2.2.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.2.2.9.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.2.2.9.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2830

#### 66.1.31.2.2.9.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.31.2.2.9.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.2.2.10 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2165
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2165
	Other <Othr>	[0..1]	±		2165



**66.1.31.2.2.10.1 Name <Nm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**66.1.31.2.2.10.2 IBAN <IBAN>***Presence:* [0..1]*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.*Impacted by:* C19 "IBAN"*Datatype:* "IBAN2007Identifier" on page 2828**Constraints****• IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**66.1.31.2.2.10.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.2.2.11 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.2.2.12 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2166
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2166
	Other <Othr>	[0..1]	±		2166

##### 66.1.31.2.2.12.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.2.2.12.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.2.2.12.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

### 66.1.31.3 PaymentTransaction162

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2169
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2171
	Type <Tp>	[1..1]	CodeSet		2171
	Number <Nb>	[1..1]	Text		2172
	HolderName <HldrNm>	[1..1]	Text		2172
	StartDate <StartDt>	[0..1]	YearMonth		2172
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2172
	CardIssuerName <CardIssrNm>	[0..1]	Text		2172
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2172
	SecurityCode <SctyCd>	[0..1]	Text		2173
	SequenceNumber <SeqNb>	[0..1]	Text		2173
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2173
	Reference <Ref>	[0..1]	Text		2173
	Debtor <Dbtr>	[0..1]	±		2173
	DebtorAccount <DbtrAcct>	[0..1]	±		2174
	DebtorAgent <DbtrAgt>	[0..1]	±		2174
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2174
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2174
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2175
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2175
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2175
	CreditorAgent <CdtrAgt>	[1..1]	±		2176
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2176
	Creditor <Cdtr>	[0..1]	±		2176
	CreditorAccount <CdtrAcct>	[1..1]	±		2176
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2177
Or	ChequeDetails <ChqDtls>	[1..1]			2177
	Number <Nb>	[0..1]	Text		2177
	PayeeIdentification <Pyeeld>	[1..1]	±		2178
	DraweeIdentification <Drweeld>	[0..1]	±		2178
	DrawerIdentification <Drwrld>	[0..1]	±		2178

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2178
	Number <Nb>	[0..1]	Text		2179
	PayeeIdentification <PyeeId>	[1..1]	±		2179
	DraweeIdentification <DrweeId>	[0..1]	±		2179
	DrawerIdentification <DrwrId>	[0..1]	±		2179
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2180
	AccountIdentification <AcctId>	[0..1]	Text		2180
	Type <Tp>	[0..1]	±		2180

#### 66.1.31.3.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer, direct debit, investment account or payment card.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2171
	Type <Tp>	[1..1]	CodeSet		2171
	Number <Nb>	[1..1]	Text		2172
	HolderName <HldrNm>	[1..1]	Text		2172
	StartDate <StartDt>	[0..1]	YearMonth		2172
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2172
	CardIssuerName <CardIssrNm>	[0..1]	Text		2172
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2172
	SecurityCode <SctyCd>	[0..1]	Text		2173
	SequenceNumber <SeqNb>	[0..1]	Text		2173
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2173
	Reference <Ref>	[0..1]	Text		2173
	Debtor <Dbtr>	[0..1]	±		2173
	DebtorAccount <DbtrAcct>	[0..1]	±		2174
	DebtorAgent <DbtrAgt>	[0..1]	±		2174
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2174
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2174
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2175
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2175
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2175
	CreditorAgent <CdtrAgt>	[1..1]	±		2176
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2176
	Creditor <Cdtr>	[0..1]	±		2176
	CreditorAccount <CdtrAcct>	[1..1]	±		2176
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2177
Or	ChequeDetails <ChqDtls>	[1..1]			2177
	Number <Nb>	[0..1]	Text		2177
	PayeeIdentification <PyeeId>	[1..1]	±		2178
	DraweeIdentification <DrweeId>	[0..1]	±		2178
	DrawerIdentification <DrwrId>	[0..1]	±		2178

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2178
	Number <Nb>	[0..1]	Text		2179
	PayeeIdentification <PyeeId>	[1..1]	±		2179
	DraweeIdentification <DrweeId>	[0..1]	±		2179
	DrawerIdentification <DrwrId>	[0..1]	±		2179
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2180
	AccountIdentification <AcctId>	[0..1]	Text		2180
	Type <Tp>	[0..1]	±		2180

#### 66.1.31.3.1.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

**PaymentCardDetails <PmtCardDtls>** contains the following **PaymentCard34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2171
	Number <Nb>	[1..1]	Text		2172
	HolderName <HldrNm>	[1..1]	Text		2172
	StartDate <StartDt>	[0..1]	YearMonth		2172
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2172
	CardIssuerName <CardIssrNm>	[0..1]	Text		2172
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2172
	SecurityCode <SctyCd>	[0..1]	Text		2173
	SequenceNumber <SeqNb>	[0..1]	Text		2173

##### 66.1.31.3.1.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2717

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

**66.1.31.3.1.1.2 Number <Nb>***Presence:* [1..1]*Definition:* Number embossed on a card that links the card to the account owner and account servicer.*Datatype:* "Max35Text" on page 2837**66.1.31.3.1.1.3 HolderName <HldrNm>***Presence:* [1..1]*Definition:* Party entitled by a card issuer to use a card.*Datatype:* "Max35Text" on page 2837**66.1.31.3.1.1.4 StartDate <StartDt>***Presence:* [0..1]*Definition:* Year and month the card is available for use.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.3.1.1.5 ExpiryDate <XpryDt>***Presence:* [1..1]*Definition:* Year and month the card expires.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.3.1.1.6 CardIssuerName <CardIssrNm>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.*Datatype:* "Max35Text" on page 2837**66.1.31.3.1.1.7 CardIssuerIdentification <CardIssrId>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.**CardIssuerIdentification <CardIssrId>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118



**66.1.31.3.1.1.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2837**66.1.31.3.1.1.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2837**66.1.31.3.1.2 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2173
	Debtor <Dbtr>	[0..1]	±		2173
	DebtorAccount <DbtrAcct>	[0..1]	±		2174
	DebtorAgent <DbtrAgt>	[0..1]	±		2174
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2174
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2174
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2175
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2175
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2175
	CreditorAgent <CdtrAgt>	[1..1]	±		2176
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2176
	Creditor <Cdtr>	[0..1]	±		2176
	CreditorAccount <CdtrAcct>	[1..1]	±		2176

**66.1.31.3.1.2.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2837**66.1.31.3.1.2.2 Debtor <Dbtr>***Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.3.1.2.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.3.1.2.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.3.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.3.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.3.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.3.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.3.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.3.1.2.10 CreditorAgent <CdtrAgt>***Presence:* [1..1]*Definition:* Financial institution servicing an account for the creditor.**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.3.1.2.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.3.1.2.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.31.3.1.2.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.3.1.3 DirectDebitDetails <DrctDbtDtls>***Presence:* [1..1]

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate8](#)" on page 1456 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1456
	Debtor <Dbtr>	[0..1]	±		1457
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1457
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1457
	Creditor <Cdtr>	[0..1]	±		1457
	DebtorAgent <DbtrAgt>	[1..1]	±		1457
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1458
	CreditorAgent <CdtrAgt>	[0..1]	±		1458
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1458
	RegistrationIdentification <RegnId>	[0..1]	Text		1459
	MandateIdentification <MndtId>	[0..1]	Text		1459

**66.1.31.3.1.4 ChequeDetails <ChqDtls>***Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2177
	PayeeIdentification <Pyeeld>	[1..1]	±		2178
	DraweeIdentification <Drweeld>	[0..1]	±		2178
	DrawerIdentification <Drwrlid>	[0..1]	±		2178

**66.1.31.3.1.4.1 Number <Nb>***Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.31.3.1.4.2 Payeeldidentification <Pyeeld>***Presence:* [1..1]*Definition:* Party to which a cheque is made payable.**Payeeldidentification <Pyeeld>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.31.3.1.4.3 Draweeldidentification <Drweeld>***Presence:* [0..1]*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.**Draweeldidentification <Drweeld>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.3.1.4.4 DrawerIdentification <Drwrld>***Presence:* [0..1]*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.31.3.1.5 BankersDraftDetails <BkrsDrftDtls>***Presence:* [1..1]*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2179
	PayeeIdentification <Pyeeld>	[1..1]	±		2179
	DraweeIdentification <Drweeld>	[0..1]	±		2179
	DrawerIdentification <Drwrld>	[0..1]	±		2179

#### 66.1.31.3.1.5.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.3.1.5.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.3.1.5.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification15" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.3.1.5.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.3.1.6 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* [C1 "AccountElementRule"](#)

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2180
	Type <Tp>	[0..1]	±		2180

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.3.1.6.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.31.3.1.6.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "[InvestmentAccountType1Choice](#)" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

#### 66.1.31.4 PaymentTransaction71

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			2183
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2186
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2188
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2190
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2194
Or	ChequeDetails <ChqDtls>	[1..1]			2194
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <PyeeId>	[1..1]	±		2195
	DraweeIdentification <DrweeId>	[0..1]	±		2195

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrld>	[0..1]	±		2195
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2195
	Number <Nb>	[0..1]	Text		2196
	PayeeIdentification <Pyeeld>	[1..1]	±		2196
	DraweeIdentification <Drweeld>	[0..1]	±		2196
	DrawerIdentification <Drwrld>	[0..1]	±		2196
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2197
	AccountIdentification <Acctld>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2197
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2198
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202
Or	ChequeDetails <ChqDtls>	[1..1]			2202
	Number <Nb>	[0..1]	Text		2203
	PayeeIdentification <Pyeeld>	[1..1]	±		2203
	DraweeIdentification <Drweeld>	[0..1]	±		2203
	DrawerIdentification <Drwrld>	[0..1]	±		2203
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2204
	Number <Nb>	[0..1]	Text		2204

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		2204
	DraweeIdentification <Drweeld>	[0..1]	±		2204
	DrawerIdentification <Drwrld>	[0..1]	±		2205
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2205
	AccountIdentification <Acctld>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

#### 66.1.31.4.1 CashInOrOut <CshInOrOut>

*Presence:* [1..1]

*Definition:* Choice between cash-in or cash-out.

**CashInOrOut** <CshInOrOut> contains one of the following **CashInOrOut7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			2186
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2188
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2190
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2194
Or	ChequeDetails <ChqDtls>	[1..1]			2194
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <Pyeeld>	[1..1]	±		2195
	DraweeIdentification <Drweeld>	[0..1]	±		2195
	DrawerIdentification <Drwrld>	[0..1]	±		2195

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2195
	Number <Nb>	[0..1]	Text		2196
	PayeeIdentification <PyeeId>	[1..1]	±		2196
	DraweeIdentification <DrweeId>	[0..1]	±		2196
	DrawerIdentification <DrwrId>	[0..1]	±		2196
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2197
	AccountIdentification <AcctId>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2197
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2198
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202
Or	ChequeDetails <ChqDtls>	[1..1]			2202
	Number <Nb>	[0..1]	Text		2203
	PayeeIdentification <PyeeId>	[1..1]	±		2203
	DraweeIdentification <DrweeId>	[0..1]	±		2203
	DrawerIdentification <DrwrId>	[0..1]	±		2203
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2204
	Number <Nb>	[0..1]	Text		2204
	PayeeIdentification <PyeeId>	[1..1]	±		2204

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2204
	DrawerIdentification <Drwrlid>	[0..1]	±		2205
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2205
	AccountIdentification <Acctld>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

#### 66.1.31.4.1.1 CashInPaymentInstrument <CshInPmtInstrm>

*Presence:* [1..1]

*Definition:* Payment instrument for the cash-in flow.

**CashInPaymentInstrument <CshInPmtInstrm>** contains one of the following **PaymentInstrument20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2188
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2190
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2194
Or	ChequeDetails <ChqDtls>	[1..1]			2194
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <PyeeId>	[1..1]	±		2195
	DraweeIdentification <DrweeId>	[0..1]	±		2195
	DrawerIdentification <DrwrId>	[0..1]	±		2195

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2195
	Number <Nb>	[0..1]	Text		2196
	PayeeIdentification <PyeeId>	[1..1]	±		2196
	DraweeIdentification <DrweeId>	[0..1]	±		2196
	DrawerIdentification <DrwrId>	[0..1]	±		2196
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2197
	AccountIdentification <AcctId>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197

#### 66.1.31.4.1.1.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

**PaymentCardDetails <PmtCardDtls>** contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2188
	Number <Nb>	[1..1]	Text		2189
	HolderName <HldrNm>	[1..1]	Text		2189
	StartDate <StartDt>	[0..1]	YearMonth		2189
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2189
	CardIssuerName <CardIssrNm>	[0..1]	Text		2189
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2189
	SecurityCode <SctyCd>	[0..1]	Text		2190
	SequenceNumber <SeqNb>	[0..1]	Text		2190

#### 66.1.31.4.1.1.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2717

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.



CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

**66.1.31.4.1.1.1.2 Number <Nb>***Presence:* [1..1]*Definition:* Number embossed on a card that links the card to the account owner and account servicer.*Datatype:* "Max35Text" on page 2837**66.1.31.4.1.1.1.3 HolderName <HldrNm>***Presence:* [1..1]*Definition:* Party entitled by a card issuer to use a card.*Datatype:* "Max35Text" on page 2837**66.1.31.4.1.1.1.4 StartDate <StartDt>***Presence:* [0..1]*Definition:* Year and month the card is available for use.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.4.1.1.1.5 ExpiryDate <XpryDt>***Presence:* [1..1]*Definition:* Year and month the card expires.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.4.1.1.1.6 CardIssuerName <CardIssrNm>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.*Datatype:* "Max35Text" on page 2837**66.1.31.4.1.1.1.7 CardIssuerIdentification <CardIssrId>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.**CardIssuerIdentification <CardIssrId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.4.1.1.1.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2837**66.1.31.4.1.1.1.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2837**66.1.31.4.1.1.2 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2190
	Debtor <Dbtr>	[0..1]	±		2190
	DebtorAccount <DbtrAcct>	[0..1]	±		2191
	DebtorAgent <DbtrAgt>	[0..1]	±		2191
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2191
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2191
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2192
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2192
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2192
	CreditorAgent <CdtrAgt>	[1..1]	±		2193
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2193
	Creditor <Cdtr>	[0..1]	±		2193
	CreditorAccount <CdtrAcct>	[1..1]	±		2193

**66.1.31.4.1.1.2.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2837**66.1.31.4.1.1.2.2 Debtor <Dbtr>***Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.1.2.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.1.2.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.4.1.1.2.10 CreditorAgent <CdtrAgt>***Presence:* [1..1]*Definition:* Financial institution servicing an account for the creditor.**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.4.1.1.2.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.4.1.1.2.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.4.1.1.2.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.4.1.1.3 DirectDebitDetails <DrctDbtDtls>***Presence:* [1..1]

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate6](#)" on page 1453 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1453
	Debtor <Dbtr>	[0..1]	±		1454
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1454
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1454
	Creditor <Cdtr>	[0..1]	±		1454
	DebtorAgent <DbtrAgt>	[1..1]	±		1454
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1455
	CreditorAgent <CdtrAgt>	[0..1]	±		1455
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1455
	RegistrationIdentification <RegnId>	[0..1]	Text		1456
	MandateIdentification <MndtId>	[0..1]	Text		1456

**66.1.31.4.1.1.4 ChequeDetails <ChqDtls>***Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2194
	PayeeIdentification <Pyeeld>	[1..1]	±		2195
	DraweeIdentification <Drweeld>	[0..1]	±		2195
	DrawerIdentification <Drwrlld>	[0..1]	±		2195

**66.1.31.4.1.1.4.1 Number <Nb>***Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.31.4.1.1.4.2 Payeeldidentification <Pyeeld>***Presence:* [1..1]*Definition:* Party to which a cheque is made payable.**Payeeldidentification <Pyeeld>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.4.1.1.4.3 Draweeldidentification <Drweeld>***Presence:* [0..1]*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.**Draweeldidentification <Drweeld>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.4.1.1.4.4 Draweridentification <Drwrld>***Presence:* [0..1]*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.**Draweridentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.4.1.1.5 BankersDraftDetails <BkrsDrftDtls>***Presence:* [1..1]*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2196
	PayeeIdentification <Pyeeld>	[1..1]	±		2196
	DraweeIdentification <Drweeld>	[0..1]	±		2196
	DrawerIdentification <Drwrlid>	[0..1]	±		2196

#### 66.1.31.4.1.1.5.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.4.1.1.5.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.1.5.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.1.5.4 DrawerIdentification <Drwrlid>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.



**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.1.6 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* [C1 "AccountElementRule"](#)

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2197
	Type <Tp>	[0..1]	±		2197

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.4.1.1.6.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.31.4.1.1.6.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see ["InvestmentAccountType1Choice"](#) on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

#### 66.1.31.4.1.2 CashOutPaymentInstrument <CshOutPmtInstrm>

*Presence:* [1..1]

*Definition:* Payment instrument for the cash-out flow.

**CashOutPaymentInstrument <CshOutPmtlnstrm>** contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2198
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202
Or	ChequeDetails <ChqDtls>	[1..1]			2202
	Number <Nb>	[0..1]	Text		2203
	PayeeIdentification <Pyeeld>	[1..1]	±		2203
	DraweeIdentification <Drweeld>	[0..1]	±		2203
	DrawerIdentification <Drwrlid>	[0..1]	±		2203
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2204
	Number <Nb>	[0..1]	Text		2204
	PayeeIdentification <Pyeeld>	[1..1]	±		2204
	DraweeIdentification <Drweeld>	[0..1]	±		2204
	DrawerIdentification <Drwrlid>	[0..1]	±		2205
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2205
	AccountIdentification <Acctld>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

#### 66.1.31.4.1.2.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2199
	Debtor <Dbtr>	[0..1]	±		2199
	DebtorAccount <DbtrAcct>	[0..1]	±		2199
	DebtorAgent <DbtrAgt>	[0..1]	±		2200
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2200
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2200
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2200
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2201
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2201
	CreditorAgent <CdtrAgt>	[1..1]	±		2201
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2201
	Creditor <Cdtr>	[0..1]	±		2202
	CreditorAccount <CdtrAcct>	[1..1]	±		2202

#### 66.1.31.4.1.2.1.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.4.1.2.1.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.2.1.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.1.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.1.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.1.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.1.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.1.10 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing an account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.1.11 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.1.12 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.2.1.13 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.4.1.2.2 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2203
	PayeeIdentification <Pyeeld>	[1..1]	±		2203
	DraweeIdentification <Drweeld>	[0..1]	±		2203
	DrawerIdentification <Drwrlid>	[0..1]	±		2203

#### 66.1.31.4.1.2.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.4.1.2.2.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.2.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.2.4 DrawerIdentification <Drwrlid>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.2.3 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2204
	PayeeIdentification <PyeeId>	[1..1]	±		2204
	DraweeIdentification <DrweeId>	[0..1]	±		2204
	DrawerIdentification <Drwrld>	[0..1]	±		2205

##### 66.1.31.4.1.2.3.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* ["Max35Text"](#) on page 2837

##### 66.1.31.4.1.2.3.2 PayeeIdentification <PyeeId>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

##### 66.1.31.4.1.2.3.3 DraweeIdentification <DrweeId>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.



**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.4.1.2.3.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.4.1.2.4 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* C1 "AccountElementRule"

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2205
	Type <Tp>	[0..1]	±		2205

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.4.1.2.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.4.1.2.4.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "InvestmentAccountType1Choice" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

### 66.1.31.5 PaymentInstrument18

*Definition:* Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2209
	Amount <Amt>	[1..1]	Amount	C1	2209
	PaymentDate <PmtDt>	[0..1]	Date		2209
	CashSettlementDetails <CshSttlmDtls>	[0..1]			2209
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2212
	Debtor <Dbtr>	[0..1]	±		2214
	DebtorAccount <DbtrAcct>	[0..1]			2215
	Name <Nm>	[0..1]	Text		2215
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2215
	Other <Othr>	[0..1]	±		2215
	DebtorAgent <DbtrAgt>	[0..1]			2216
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2216
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2216
	NameAndAddress <NmAndAdr>	[0..1]	±		2217
	LEI <LEI>	[0..1]	IdentifierSet		2217
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2218
	BranchIdentification <BrnchId>	[0..1]	±		2218
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2218
	Name <Nm>	[0..1]	Text		2218
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2218
	Other <Othr>	[0..1]	±		2219
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2219
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2219
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2220
	NameAndAddress <NmAndAdr>	[0..1]	±		2221
	LEI <LEI>	[0..1]	IdentifierSet		2221
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2221
	BranchIdentification <BrnchId>	[0..1]	±		2221
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2221
	Name <Nm>	[0..1]	Text		2222
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2222

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Other <Othr>	[0..1]	±		2222
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2223
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2223
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2223
	NameAndAddress <NmAndAdr>	[0..1]	±		2224
	LEI <LEI>	[0..1]	IdentifierSet		2224
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2225
	BranchIdentification <Brnchld>	[0..1]	±		2225
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2225
	Name <Nm>	[0..1]	Text		2225
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2225
	Other <Othr>	[0..1]	±		2226
	CreditorAgent <CdtrAgt>	[1..1]			2226
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2226
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2227
	NameAndAddress <NmAndAdr>	[0..1]	±		2227
	LEI <LEI>	[0..1]	IdentifierSet		2228
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2228
	BranchIdentification <Brnchld>	[0..1]	±		2228
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2228
	Name <Nm>	[0..1]	Text		2229
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2229
	Other <Othr>	[0..1]	±		2229
	Creditor <Cdtr>	[0..1]	±		2229
	CreditorAccount <CdtrAcct>	[1..1]			2230
	Name <Nm>	[0..1]	Text		2230
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2230
	Other <Othr>	[0..1]	±		2230
Or}	ChequeDetails <ChqDtls>	[1..1]			2231
	Number <Nb>	[0..1]	Text		2231
	PayeeIdentification <Pyeeld>	[0..1]	±		2231

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldidentification <Drweeld>	[0..1]			2232
	Party <Pty>	[1..1]			2232
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		2234
	LEI <LEI>	[0..1]	IdentifierSet		2234
	DrawerIdentification <Drwrld>	[0..1]	±		2235

#### 66.1.31.5.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.5.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of the payment.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 66.1.31.5.3 PaymentDate <PmtDt>

*Presence:* [0..1]

*Definition:* Date of the payment.

*Datatype:* "ISODate" on page 2822

#### 66.1.31.5.4 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains one of the following **PaymentInstrument25Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			2212
	Debtor <Dbtr>	[0..1]	±		2214
	DebtorAccount <DbtrAcct>	[0..1]			2215
	Name <Nm>	[0..1]	Text		2215
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2215
	Other <Othr>	[0..1]	±		2215
	DebtorAgent <DbtrAgt>	[0..1]			2216
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2216
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2216
	NameAndAddress <NmAndAdr>	[0..1]	±		2217
	LEI <LEI>	[0..1]	IdentifierSet		2217
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2218
	BranchIdentification <BrnchId>	[0..1]	±		2218
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2218
	Name <Nm>	[0..1]	Text		2218
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2218
	Other <Othr>	[0..1]	±		2219
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2219
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2219
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2220
	NameAndAddress <NmAndAdr>	[0..1]	±		2221
	LEI <LEI>	[0..1]	IdentifierSet		2221
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2221
	BranchIdentification <BrnchId>	[0..1]	±		2221
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2221
	Name <Nm>	[0..1]	Text		2222
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2222
	Other <Othr>	[0..1]	±		2222
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2223
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2223

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2223
	NameAndAddress <NmAndAdr>	[0..1]	±		2224
	LEI <LEI>	[0..1]	IdentifierSet		2224
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2225
	BranchIdentification <Brnchld>	[0..1]	±		2225
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2225
	Name <Nm>	[0..1]	Text		2225
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2225
	Other <Othr>	[0..1]	±		2226
	CreditorAgent <CdtrAgt>	[1..1]			2226
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2226
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2227
	NameAndAddress <NmAndAdr>	[0..1]	±		2227
	LEI <LEI>	[0..1]	IdentifierSet		2228
	ProprietaryIdentification <Prtryld>	[0..1]	Text		2228
	BranchIdentification <Brnchld>	[0..1]	±		2228
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2228
	Name <Nm>	[0..1]	Text		2229
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2229
	Other <Othr>	[0..1]	±		2229
	Creditor <Cdtr>	[0..1]	±		2229
	CreditorAccount <CdtrAcct>	[1..1]			2230
	Name <Nm>	[0..1]	Text		2230
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2230
	Other <Othr>	[0..1]	±		2230
Or}	ChequeDetails <ChqDtls>	[1..1]			2231
	Number <Nb>	[0..1]	Text		2231
	PayeeIdentification <Pyeeld>	[0..1]	±		2231
	DraweeIdentification <Drweeld>	[0..1]			2232
	Party <Pty>	[1..1]			2232
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BICFI <BICFI/>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2234
	LEI <LEI/>	[0..1]	IdentifierSet		2234
	DrawerIdentification <DrwrId>	[0..1]	±		2235

#### 66.1.31.5.4.1 CreditTransferDetails <CdtTrfDtls>

*Presence:* [0..1]

*Definition:* Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.



**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		2214
	DebtorAccount <DbtrAcct>	[0..1]			2215
	Name <Nm>	[0..1]	Text		2215
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2215
	Other <Othr>	[0..1]	±		2215
	DebtorAgent <DbtrAgt>	[0..1]			2216
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2216
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2216
	NameAndAddress <NmAndAdr>	[0..1]	±		2217
	LEI <LEI>	[0..1]	IdentifierSet		2217
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2218
	BranchIdentification <BrnchId>	[0..1]	±		2218
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			2218
	Name <Nm>	[0..1]	Text		2218
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2218
	Other <Othr>	[0..1]	±		2219
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			2219
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2219
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2220
	NameAndAddress <NmAndAdr>	[0..1]	±		2221
	LEI <LEI>	[0..1]	IdentifierSet		2221
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2221
	BranchIdentification <BrnchId>	[0..1]	±		2221
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			2221
	Name <Nm>	[0..1]	Text		2222
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2222
	Other <Othr>	[0..1]	±		2222
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			2223
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2223
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2223
	NameAndAddress <NmAndAdr>	[0..1]	±		2224

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		2224
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2225
	BranchIdentification <BrnchId>	[0..1]	±		2225
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			2225
	Name <Nm>	[0..1]	Text		2225
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2225
	Other <Othr>	[0..1]	±		2226
	CreditorAgent <CdtrAgt>	[1..1]			2226
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2226
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2227
	NameAndAddress <NmAndAdr>	[0..1]	±		2227
	LEI <LEI>	[0..1]	IdentifierSet		2228
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2228
	BranchIdentification <BrnchId>	[0..1]	±		2228
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			2228
	Name <Nm>	[0..1]	Text		2229
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2229
	Other <Othr>	[0..1]	±		2229
	Creditor <Cdtr>	[0..1]	±		2229
	CreditorAccount <CdtrAcct>	[1..1]			2230
	Name <Nm>	[0..1]	Text		2230
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2230
	Other <Othr>	[0..1]	±		2230

#### 66.1.31.5.4.1.1 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification132](#)" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.5.4.1.2 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2215
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2215
	Other <Othr>	[0..1]	±		2215

##### 66.1.31.5.4.1.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2837

##### 66.1.31.5.4.1.2.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* [C19 "IBAN"](#)

*Datatype:* "[IBAN2007Identifier](#)" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.5.4.1.2.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.5.4.1.3 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing the account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2216
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2216
	NameAndAddress <NmAndAdr>	[0..1]	±		2217
	LEI <LEI>	[0..1]	IdentifierSet		2217
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2218
	BranchIdentification <BrnchId>	[0..1]	±		2218

##### 66.1.31.5.4.1.3.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

##### 66.1.31.5.4.1.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.5.4.1.3.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.5.4.1.3.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier" on page 2830](#)

#### 66.1.31.5.4.1.3.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text" on page 2837](#)

#### 66.1.31.5.4.1.3.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2" on page 1467](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.5.4.1.4 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2218
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2218
	Other <Othr>	[0..1]	±		2219

##### 66.1.31.5.4.1.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* ["Max35Text" on page 2837](#)

##### 66.1.31.5.4.1.4.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.5.4.1.4.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.5.4.1.5 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2219
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2220
	NameAndAddress <NmAndAdr>	[0..1]	±		2221
	LEI <LEI>	[0..1]	IdentifierSet		2221
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2221
	BranchIdentification <BrnchId>	[0..1]	±		2221

#### 66.1.31.5.4.1.5.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.5.4.1.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430



**66.1.31.5.4.1.5.3 NameAndAddress <NmAndAdr>***Presence:* [0..1]*Definition:* Name and address of the party.**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

**66.1.31.5.4.1.5.4 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identification as an alternate identification for the party.*Datatype:* "[LEIIdentifier](#)" on page 2830**66.1.31.5.4.1.5.5 ProprietaryIdentification <PrtryId>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.*Datatype:* "[Max35Text](#)" on page 2837**66.1.31.5.4.1.5.6 BranchIdentification <BrnchId>***Presence:* [0..1]*Definition:* Identification of a specific branch of the financial institution.**BranchIdentification <BrnchId>** contains the following elements (see "[BranchData2](#)" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

**66.1.31.5.4.1.6 IntermediaryAgent1Account <IntrmyAgt1Acct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2222
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2222
	Other <Othr>	[0..1]	±		2222

#### 66.1.31.5.4.1.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.5.4.1.6.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.5.4.1.6.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.5.4.1.7 IntermediaryAgent2 <IntrmyAgt2>***Presence:* [0..1]*Definition:* Agent between the debtor's agent and the creditor's agent.**IntermediaryAgent2 <IntrmyAgt2>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2223
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2223
	NameAndAddress <NmAndAdr>	[0..1]	±		2224
	LEI <LEI>	[0..1]	IdentifierSet		2224
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2225
	BranchIdentification <BrnchId>	[0..1]	±		2225

**66.1.31.5.4.1.7.1 BICFI <BICFI>***Presence:* [0..1]*Definition:* Identification of the financial institution expressed as a BIC.*Impacted by:* C5 "BICFI"*Datatype:* "BICFIDec2014Identifier" on page 2824**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.

**66.1.31.5.4.1.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>***Presence:* [0..1]*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.5.4.1.7.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.5.4.1.7.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIdentifier" on page 2830

#### 66.1.31.5.4.1.7.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.5.4.1.7.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.5.4.1.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2225
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2225
	Other <Othr>	[0..1]	±		2226

##### 66.1.31.5.4.1.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.5.4.1.8.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 66.1.31.5.4.1.8.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.5.4.1.9 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing the account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	2226
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2227
	NameAndAddress <NmAndAdr>	[0..1]	±		2227
	LEI <LEI>	[0..1]	IdentifierSet		2228
	ProprietaryIdentification <PrtryId>	[0..1]	Text		2228
	BranchIdentification <BrnchId>	[0..1]	±		2228

#### 66.1.31.5.4.1.9.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2824

#### 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.

#### 66.1.31.5.4.1.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1427
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1427
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1427
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1428
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1428
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1428
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1428
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1428
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1428
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1428
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1429
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1429
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1429
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1429
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1429
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1429
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1429
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1430
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1430

#### 66.1.31.5.4.1.9.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.5.4.1.9.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2830

#### 66.1.31.5.4.1.9.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.31.5.4.1.9.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1467 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1468
	Name <Nm>	[0..1]	Text		1468
	PostalAddress <PstlAdr>	[0..1]	±		1468

#### 66.1.31.5.4.1.10 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2229
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2229
	Other <Othr>	[0..1]	±		2229



**66.1.31.5.4.1.10.1 Name <Nm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2837**66.1.31.5.4.1.10.2 IBAN <IBAN>***Presence:* [0..1]*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.*Impacted by:* C19 "IBAN"*Datatype:* "IBAN2007Identifier" on page 2828**Constraints**

- IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**66.1.31.5.4.1.10.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

**66.1.31.5.4.1.11 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "PartyIdentification132" on page 2103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C4	2103
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		2103
	NameAndAddress <NmAndAdr>	[0..1]	±		2104
	ProprietaryIdentification <PrtryId>	[0..1]	±		2105
	LEI <LEI>	[0..1]	IdentifierSet		2105

#### 66.1.31.5.4.1.12 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2230
	IBAN <IBAN>	[0..1]	IdentifierSet	C19	2230
	Other <Othr>	[0..1]	±		2230

##### 66.1.31.5.4.1.12.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.5.4.1.12.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C19 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2828

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 66.1.31.5.4.1.12.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1287
	SchemeName <SchmeNm>	[0..1]			1287
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	Text		1287
	Issuer <Issr>	[0..1]	Text		1287

#### 66.1.31.5.4.2 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2231
	PayeeIdentification <PyeeId>	[0..1]	±		2231
	DraweeIdentification <DrweeId>	[0..1]			2232
	Party <Pty>	[1..1]			2232
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2234
	LEI <LEI>	[0..1]	IdentifierSet		2234
	DrawerIdentification <DrwrId>	[0..1]	±		2235

##### 66.1.31.5.4.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

##### 66.1.31.5.4.2.2 PayeeIdentification <PyeeId>

*Presence:* [0..1]

*Definition:* Party to which the cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.5.4.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which the cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following **FinancialInstitutionIdentification17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			2232
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2234
	LEI <LEI>	[0..1]	IdentifierSet		2234

#### 66.1.31.5.4.2.3.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the financial institution.

**Party <Pty>** contains one of the following **FinancialInstitutionIdentification10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		2232
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	2233
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		2233
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		2234

#### 66.1.31.5.4.2.3.1.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.31.5.4.2.3.1.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* [C5 "BICFI"](#)

*Datatype:* ["BICFIDec2014Identifier"](#) on page 2824

#### 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.

#### 66.1.31.5.4.2.3.1.3 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification2Choice" on page 1430 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1431
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1431
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1432
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1432
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1432
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1432
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1432
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1432
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1432
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1433
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1433
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1433
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1433
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1433
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1433
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1433
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1434
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1434
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1434
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1434
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1434
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1434
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1435

#### 66.1.31.5.4.2.3.1.4 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.5.4.2.3.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2830

#### 66.1.31.5.4.2.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues the cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.6 PaymentCard29

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2235
	Number <Nb>	[1..1]	Text		2236
	HolderName <HldrNm>	[1..1]	Text		2236
	StartDate <StartDt>	[0..1]	YearMonth		2236
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2236
	CardIssuerName <CardIssrNm>	[0..1]	Text		2236
	CardIssuerIdentification <CardIssrld>	[0..1]	±		2236
	SecurityCode <SctyCd>	[0..1]	Text		2237
	SequenceNumber <SeqNb>	[0..1]	Text		2237

##### 66.1.31.6.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2717

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

#### 66.1.31.6.2 Number <Nb>

*Presence:* [1..1]

*Definition:* Number embossed on a card that links the card to the account owner and account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.6.3 HolderName <HldrNm>

*Presence:* [1..1]

*Definition:* Party entitled by a card issuer to use a card.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.6.4 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Year and month the card is available for use.

*Datatype:* "ISOYearMonth" on page 2839

#### 66.1.31.6.5 ExpiryDate <XpryDt>

*Presence:* [1..1]

*Definition:* Year and month the card expires.

*Datatype:* "ISOYearMonth" on page 2839

#### 66.1.31.6.6 CardIssuerName <CardIssrNm>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.6.7 CardIssuerIdentification <CardIssrId>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.



**CardIssuerIdentification <CardIssrId>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.31.6.8 SecurityCode <SctyCd>

*Presence:* [0..1]

*Definition:* Security code written on, or in, the card.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.6.9 SequenceNumber <SeqNb>

*Presence:* [0..1]

*Definition:* Number distinguishing two or more payment cards with the same account number.

*Datatype:* "Max3Text" on page 2837

#### 66.1.31.7 PaymentInstrument17

*Definition:* Instrument used to process a payment instruction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2238
	DividendPercentage <DvddPctg>	[0..1]	Rate		2239
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2239
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2239
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2239
Or	Cheque <Chq>	[1..1]	Indicator		2240
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2240
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2240
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2241
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2241
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2242
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2242
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2242
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2243
Or	Cheque <Chq>	[1..1]	Indicator		2243
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2244
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2244
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2244
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2244

#### 66.1.31.7.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

#### 66.1.31.7.2 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2835

#### 66.1.31.7.3 SubscriptionPaymentInstrument <SbcptPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a subscription payment.

**SubscriptionPaymentInstrument <SbcptPmtInstrm>** contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2239
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2239
Or	Cheque <Chq>	[1..1]	Indicator		2240
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2240

#### 66.1.31.7.3.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by card.

**PaymentCardDetails <PmtCardDtls>** contains the following elements (see "PaymentCard29" on page 2235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2235
	Number <Nb>	[1..1]	Text		2236
	HolderName <HldrNm>	[1..1]	Text		2236
	StartDate <StartDt>	[0..1]	YearMonth		2236
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2236
	CardIssuerName <CardIssrNm>	[0..1]	Text		2236
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2236
	SecurityCode <SctyCd>	[0..1]	Text		2237
	SequenceNumber <SeqNb>	[0..1]	Text		2237

#### 66.1.31.7.3.2 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by direct debit.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate7](#)" on page 1459 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1459
	Debtor <Dbtr>	[0..1]	±		1460
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1460
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1460
	Creditor <Cdtr>	[0..1]	±		1460
	DebtorAgent <DbtrAgt>	[1..1]	±		1461
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1461
	CreditorAgent <CdtrAgt>	[0..1]	±		1461
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1462
	RegistrationIdentification <RegnId>	[0..1]	Text		1462
	MandatIdentification <MndtId>	[0..1]	Text		1462

#### 66.1.31.7.3.3 Cheque <Chq>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via cheque.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.31.7.3.4 BankersDraft <BkrsDrft>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via draft.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.31.7.4 RedemptionPaymentInstrument <RedPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a redemption payment.

**RedemptionPaymentInstrument <RedPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2241

#### 66.1.31.7.4.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "[Cheque4](#)" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1426

#### 66.1.31.7.4.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "[Cheque4](#)" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1426

#### 66.1.31.7.5 DividendPaymentInstrument <DvddPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a dividend payment.

**DividendPaymentInstrument <DvddPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2242

#### 66.1.31.7.5.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "Cheque4" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1426

#### 66.1.31.7.5.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "Cheque4" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1426

#### 66.1.31.7.6 SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a savings plan payment.

**SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>** contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2242
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2243
Or	Cheque <Chq>	[1..1]	Indicator		2243
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2244

##### 66.1.31.7.6.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by card.

**PaymentCardDetails <PmtCardDtls>** contains the following elements (see "PaymentCard29" on page 2235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2235
	Number <Nb>	[1..1]	Text		2236
	HolderName <HldrNm>	[1..1]	Text		2236
	StartDate <StartDt>	[0..1]	YearMonth		2236
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2236
	CardIssuerName <CardIssrNm>	[0..1]	Text		2236
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2236
	SecurityCode <SctyCd>	[0..1]	Text		2237
	SequenceNumber <SeqNb>	[0..1]	Text		2237

#### 66.1.31.7.6.2 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by direct debit.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "DirectDebitMandate7" on page 1459 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1459
	Debtor <Dbtr>	[0..1]	±		1460
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1460
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1460
	Creditor <Cdtr>	[0..1]	±		1460
	DebtorAgent <DbtrAgt>	[1..1]	±		1461
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1461
	CreditorAgent <CdtrAgt>	[0..1]	±		1461
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1462
	RegistrationIdentification <RegnId>	[0..1]	Text		1462
	MandateIdentification <MndtId>	[0..1]	Text		1462

#### 66.1.31.7.6.3 Cheque <Chq>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via cheque.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.31.7.6.4 BankersDraft <BkrsDrft>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via draft.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.31.7.7 InterestPaymentInstrument <IntrstPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for an interest payment.

**InterestPaymentInstrument <IntrstPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2244
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2244

##### 66.1.31.7.7.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "[Cheque4](#)" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1426

##### 66.1.31.7.7.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "[Cheque4](#)" on page 1426 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1426

#### 66.1.31.8 PaymentTransaction151

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2245
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2246
	Reference <Ref>	[0..1]	Text		2247
	Debtor <Dbtr>	[0..1]	±		2247
	DebtorAccount <DbtrAcct>	[0..1]	±		2247
	DebtorAgent <DbtrAgt>	[0..1]	±		2248
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2248
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2248
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2248
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2249
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2249
	CreditorAgent <CdtrAgt>	[1..1]	±		2249
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2249
	Creditor <Cdtr>	[0..1]	±		2250
	CreditorAccount <CdtrAcct>	[1..1]	±		2250
Or	ChequeDetails <ChqDtls>	[1..1]			2250
	Number <Nb>	[0..1]	Text		2251
	PayeeIdentification <PyeeId>	[1..1]	±		2251
	DraweeIdentification <DrweeId>	[0..1]	±		2251
	DrawerIdentification <DrwrId>	[0..1]	±		2251
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2252
	Number <Nb>	[0..1]	Text		2252
	PayeeIdentification <PyeeId>	[1..1]	±		2252
	DraweeIdentification <DrweeId>	[0..1]	±		2252
	DrawerIdentification <DrwrId>	[0..1]	±		2253
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2253
	AccountIdentification <AcctId>	[0..1]	Text		2253
	Type <Tp>	[0..1]	±		2253

#### 66.1.31.8.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer or investment account.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument26Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2246
	Reference <Ref>	[0..1]	Text		2247
	Debtor <Dbtr>	[0..1]	±		2247
	DebtorAccount <DbtrAcct>	[0..1]	±		2247
	DebtorAgent <DbtrAgt>	[0..1]	±		2248
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2248
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2248
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2248
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2249
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2249
	CreditorAgent <CdtrAgt>	[1..1]	±		2249
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2249
	Creditor <Cdtr>	[0..1]	±		2250
	CreditorAccount <CdtrAcct>	[1..1]	±		2250
Or	ChequeDetails <ChqDtls>	[1..1]			2250
	Number <Nb>	[0..1]	Text		2251
	PayeeIdentification <Pyeeld>	[1..1]	±		2251
	DraweeIdentification <Drweeld>	[0..1]	±		2251
	DrawerIdentification <Drwrlid>	[0..1]	±		2251
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2252
	Number <Nb>	[0..1]	Text		2252
	PayeeIdentification <Pyeeld>	[1..1]	±		2252
	DraweeIdentification <Drweeld>	[0..1]	±		2252
	DrawerIdentification <Drwrlid>	[0..1]	±		2253
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2253
	AccountIdentification <AcctId>	[0..1]	Text		2253
	Type <Tp>	[0..1]	±		2253

#### 66.1.31.8.1.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2247
	Debtor <Dbtr>	[0..1]	±		2247
	DebtorAccount <DbtrAcct>	[0..1]	±		2247
	DebtorAgent <DbtrAgt>	[0..1]	±		2248
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2248
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2248
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2248
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2249
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2249
	CreditorAgent <CdtrAgt>	[1..1]	±		2249
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2249
	Creditor <Cdtr>	[0..1]	±		2250
	CreditorAccount <CdtrAcct>	[1..1]	±		2250

#### 66.1.31.8.1.1.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.8.1.1.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.8.1.1.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.1.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.1.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.1.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification15](#)" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.1.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see ["FinancialInstitutionIdentification15"](#) on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.1.10 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing an account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following elements (see ["FinancialInstitutionIdentification15"](#) on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.1.11 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.1.12 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.8.1.1.13 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.8.1.2 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2251
	PayeeIdentification <Pyeeld>	[1..1]	±		2251
	DraweeIdentification <Drweeld>	[0..1]	±		2251
	DrawerIdentification <Drwrlld>	[0..1]	±		2251

#### 66.1.31.8.1.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.8.1.2.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.8.1.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification15" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.2.4 DrawerIdentification <Drwrlld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification139"](#) on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.8.1.3 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2252
	PayeeIdentification <Pyeeld>	[1..1]	±		2252
	DraweeIdentification <Drweeld>	[0..1]	±		2252
	DrawerIdentification <Drwrld>	[0..1]	±		2253

##### 66.1.31.8.1.3.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* ["Max35Text"](#) on page 2837

##### 66.1.31.8.1.3.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see ["PartyIdentification139"](#) on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

##### 66.1.31.8.1.3.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.



**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification15" on page 1469 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.8.1.3.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.31.8.1.4 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* C1 "AccountElementRule"

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2253
	Type <Tp>	[0..1]	±		2253

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.8.1.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.8.1.4.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "InvestmentAccountType1Choice" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

### 66.1.31.9 PaymentTransaction70

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2256
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265
	DrawerIdentification <Drwrld>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <PyeeId>	[1..1]	±		2266
	DraweeIdentification <DrweeId>	[0..1]	±		2266
	DrawerIdentification <DrwrId>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### 66.1.31.9.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer, direct debit, investment account or payment card.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2258
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2260
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2264
Or	ChequeDetails <ChqDtls>	[1..1]			2264
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <PyeeId>	[1..1]	±		2265
	DraweeIdentification <DrweeId>	[0..1]	±		2265
	DrawerIdentification <DrwrId>	[0..1]	±		2265

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2265
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <PyeeId>	[1..1]	±		2266
	DraweeIdentification <DrweeId>	[0..1]	±		2266
	DrawerIdentification <DrwrId>	[0..1]	±		2266
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2267
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### 66.1.31.9.1.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

**PaymentCardDetails <PmtCardDtls>** contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2258
	Number <Nb>	[1..1]	Text		2259
	HolderName <HldrNm>	[1..1]	Text		2259
	StartDate <StartDt>	[0..1]	YearMonth		2259
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2259
	CardIssuerName <CardIssrNm>	[0..1]	Text		2259
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2259
	SecurityCode <SctyCd>	[0..1]	Text		2260
	SequenceNumber <SeqNb>	[0..1]	Text		2260

##### 66.1.31.9.1.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2717

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

**66.1.31.9.1.1.2 Number <Nb>***Presence:* [1..1]*Definition:* Number embossed on a card that links the card to the account owner and account servicer.*Datatype:* "Max35Text" on page 2837**66.1.31.9.1.1.3 HolderName <HldrNm>***Presence:* [1..1]*Definition:* Party entitled by a card issuer to use a card.*Datatype:* "Max35Text" on page 2837**66.1.31.9.1.1.4 StartDate <StartDt>***Presence:* [0..1]*Definition:* Year and month the card is available for use.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.9.1.1.5 ExpiryDate <XpryDt>***Presence:* [1..1]*Definition:* Year and month the card expires.*Datatype:* "ISOYearMonth" on page 2839**66.1.31.9.1.1.6 CardIssuerName <CardIssrNm>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.*Datatype:* "Max35Text" on page 2837**66.1.31.9.1.1.7 CardIssuerIdentification <CardIssrId>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.**CardIssuerIdentification <CardIssrId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.9.1.1.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2837**66.1.31.9.1.1.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2837**66.1.31.9.1.2 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2260
	Debtor <Dbtr>	[0..1]	±		2260
	DebtorAccount <DbtrAcct>	[0..1]	±		2261
	DebtorAgent <DbtrAgt>	[0..1]	±		2261
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2261
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2261
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2262
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2262
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2262
	CreditorAgent <CdtrAgt>	[1..1]	±		2263
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2263
	Creditor <Cdtr>	[0..1]	±		2263
	CreditorAccount <CdtrAcct>	[1..1]	±		2263

**66.1.31.9.1.2.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2837**66.1.31.9.1.2.2 Debtor <Dbtr>***Presence:* [0..1]



*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.9.1.2.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.9.1.2.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.9.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.9.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.9.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.9.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.9.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.9.1.2.10 CreditorAgent <CdtrAgt>***Presence:* [1..1]*Definition:* Financial institution servicing an account for the creditor.**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.9.1.2.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.9.1.2.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.9.1.2.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

**66.1.31.9.1.3 DirectDebitDetails <DrctDbtDtls>***Presence:* [1..1]

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate6](#)" on page 1453 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1453
	Debtor <Dbtr>	[0..1]	±		1454
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1454
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1454
	Creditor <Cdtr>	[0..1]	±		1454
	DebtorAgent <DbtrAgt>	[1..1]	±		1454
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1455
	CreditorAgent <CdtrAgt>	[0..1]	±		1455
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1455
	RegistrationIdentification <RegnId>	[0..1]	Text		1456
	MandateIdentification <MndtId>	[0..1]	Text		1456

**66.1.31.9.1.4 ChequeDetails <ChqDtls>***Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2264
	PayeeIdentification <Pyeeld>	[1..1]	±		2265
	DraweeIdentification <Drweeld>	[0..1]	±		2265
	DrawerIdentification <Drwrlld>	[0..1]	±		2265

**66.1.31.9.1.4.1 Number <Nb>***Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.31.9.1.4.2 Payeeldidentification <Pyeeld>***Presence:* [1..1]*Definition:* Party to which a cheque is made payable.**Payeeldidentification <Pyeeld>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.9.1.4.3 Draweeldidentification <Drweeld>***Presence:* [0..1]*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.**Draweeldidentification <Drweeld>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

**66.1.31.9.1.4.4 DrawerIdentification <Drwrld>***Presence:* [0..1]*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.31.9.1.5 BankersDraftDetails <BkrsDrftDtls>***Presence:* [1..1]*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2266
	PayeeIdentification <Pyeeld>	[1..1]	±		2266
	DraweeIdentification <Drweeld>	[0..1]	±		2266
	DrawerIdentification <Drwrl>	[0..1]	±		2266

#### 66.1.31.9.1.5.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.9.1.5.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.9.1.5.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.9.1.5.4 DrawerIdentification <Drwrl>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.9.1.6 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* [C1 "AccountElementRule"](#)

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2267
	Type <Tp>	[0..1]	±		2267

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.9.1.6.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.31.9.1.6.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "[InvestmentAccountType1Choice](#)" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

### 66.1.31.10 PaymentInstrument16

*Definition:* Payment instrument for a type of order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdTp>	[1..1]			2268
{Or	Code <Cd>	[1..1]	CodeSet		2268
Or}	Proprietary <Prtry>	[1..1]	±		2268
	InstrumentType <InstrmTp>	[1..1]			2269
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2269
	AdditionalInformation <AddtlInf>	[0..*]	±		2270

#### 66.1.31.10.1 OrderType <OrdTp>

*Presence:* [1..1]

*Definition:* Type of order to which the payment instrument applies.

**OrderType <OrdTp>** contains one of the following **FundOrderType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2268
Or}	Proprietary <Prtry>	[1..1]	±		2268

##### 66.1.31.10.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a code.

*Datatype:* "FundOrderType10Code" on page 2739

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

##### 66.1.31.10.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.31.10.2 InstrumentType <InstrmTp>

*Presence:* [1..1]

*Definition:* Payment instrument for the order type.

**InstrumentType <InstrmTp>** contains one of the following **FundPaymentType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2269

##### 66.1.31.10.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of payment instrument expressed as a code.

*Datatype:* "FundPaymentType1Code" on page 2741

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

##### 66.1.31.10.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of payment instrument expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.31.10.3 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the payment.**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.31.11 SourceOfCash1Choice***Definition:* Choice of formats for the source of the cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2270
Or}	Proprietary <Prtry>	[1..1]	±		2271

**66.1.31.11.1 Code <Cd>***Presence:* [1..1]*Definition:* Source of cash expressed as a code.*Datatype:* ["SourceOfCash1Code"](#) on page 2798

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

**66.1.31.11.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Source of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.31.12 PaymentTransaction72**

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2272
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <PyeeId>	[1..1]	±		2278
	DraweeIdentification <DrweeId>	[0..1]	±		2278
	DrawerIdentification <DrwrId>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <PyeeId>	[1..1]	±		2279
	DraweeIdentification <DrweeId>	[0..1]	±		2279
	DrawerIdentification <DrwrId>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

### 66.1.31.12.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer or investment account.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2273
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277
Or	ChequeDetails <ChqDtls>	[1..1]			2277
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrlid>	[0..1]	±		2278
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2279
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrlid>	[0..1]	±		2280
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2280
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### 66.1.31.12.1.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

**Definition:** Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2274
	Debtor <Dbtr>	[0..1]	±		2274
	DebtorAccount <DbtrAcct>	[0..1]	±		2274
	DebtorAgent <DbtrAgt>	[0..1]	±		2275
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2275
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2275
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2275
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2276
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2276
	CreditorAgent <CdtrAgt>	[1..1]	±		2276
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2276
	Creditor <Cdtr>	[0..1]	±		2277
	CreditorAccount <CdtrAcct>	[1..1]	±		2277

#### 66.1.31.12.1.1.1 Reference <Ref>

**Presence:** [0..1]

**Definition:** Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

**Datatype:** "Max35Text" on page 2837

#### 66.1.31.12.1.1.2 Debtor <Dbtr>

**Presence:** [0..1]

**Definition:** Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.12.1.1.3 DebtorAccount <DbtrAcct>

**Presence:** [0..1]

**Definition:** Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.1.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.1.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.1.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.1.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.1.10 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing an account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.1.11 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]



*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.1.12 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.12.1.1.13 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.31.12.1.2 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2278
	PayeeIdentification <Pyeeld>	[1..1]	±		2278
	DraweeIdentification <Drweeld>	[0..1]	±		2278
	DrawerIdentification <Drwrld>	[0..1]	±		2278

#### 66.1.31.12.1.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.12.1.2.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.12.1.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.2.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.12.1.3 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2279
	PayeeIdentification <Pyeeld>	[1..1]	±		2279
	DraweeIdentification <Drweeld>	[0..1]	±		2279
	DrawerIdentification <Drwrld>	[0..1]	±		2280

##### 66.1.31.12.1.3.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* ["Max35Text"](#) on page 2837

##### 66.1.31.12.1.3.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see ["PartyIdentification113"](#) on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

##### 66.1.31.12.1.3.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1470 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1470
	LEI <LEI>	[0..1]	IdentifierSet		1470

#### 66.1.31.12.1.3.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.31.12.1.4 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* C1 "AccountElementRule"

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2280
	Type <Tp>	[0..1]	±		2280

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 66.1.31.12.1.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2837

#### 66.1.31.12.1.4.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "[InvestmentAccountType1Choice](#)" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1582
Or}	Proprietary <Prtry>	[1..1]	±		1582

## 66.1.32 Person Identification

### 66.1.32.1 IndividualPerson31

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2281
	BirthDate <BirthDt>	[0..1]	Date		2281
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2282
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2282
	OtherIdentification <Othrld>	[0..*]			2282
	Identification <Id>	[1..1]	Text		2282
	IdentificationType <IdTp>	[1..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284
	Issuer </ssr>	[0..1]	Text		2284

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

#### 66.1.32.1.1 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.32.1.2 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "[ISODate](#)" on page 2822

**66.1.32.1.3 CountryAndResidentialStatus <CtryAndResdtlSts>***Presence:* [0..1]*Definition:* Country and residential status of the individual, for example, non-permanent resident.**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "CountryAndResidentialStatusType2" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	2075
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2075

**66.1.32.1.4 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>***Presence:* [0..1]*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**66.1.32.1.5 OtherIdentification <OthrId>***Presence:* [0..\*]*Definition:* Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.**OtherIdentification <OthrId>** contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2282
	IdentificationType <IdTp>	[1..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284
	Issuer <Issr>	[0..1]	Text		2284

**66.1.32.1.5.1 Identification <Id>***Presence:* [1..1]*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.*Datatype:* "Max35Text" on page 2837

**66.1.32.1.5.2 IdentificationType <IdTp>***Presence:* [1..1]*Definition:* Specifies the nature of the identifier.**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2284

**66.1.32.1.5.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of identification expressed as a code.*Datatype:* "PartyIdentificationType7Code" on page 2770

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
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.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

CodeName	Name	Definition
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 66.1.32.1.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.1.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identifier.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.32.2 IndividualPerson35

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2284
	MiddleName <MddlNm>	[0..1]	Text		2285
	Name <Nm>	[1..1]	Text		2285
	Gender <Gndr>	[0..1]	CodeSet		2285
	BirthDate <BirthDt>	[0..1]	Date		2285

##### 66.1.32.2.1 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "[Max35Text](#)" on page 2837



**66.1.32.2.2 MiddleName <MddINm>**

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "Max35Text" on page 2837

**66.1.32.2.3 Name <Nm>**

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 2837

**66.1.32.2.4 Gender <Gndr>**

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* "Gender1Code" on page 2742

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

**66.1.32.2.5 BirthDate <BirthDt>**

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2822

**66.1.32.3 IndividualPerson37**

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2287
{Or	Code <Cd>	[1..1]	CodeSet		2287
Or}	Proprietary <Prtry>	[1..1]	±		2287
	GivenName <GvnNm>	[0..1]	Text		2288
	MiddleName <MddlNm>	[0..1]	Text		2288
	Name <Nm>	[1..1]	Text		2288
	NameSuffix <NmSfx>	[0..1]	Text		2288
	Gender <Gndr>	[0..1]	CodeSet		2288
	BirthDate <BirthDt>	[0..1]	Date		2288
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C12	2289
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2289
	CityOfBirth <CityOfBirth>	[0..1]	Text		2289
	Profession <Prfssn>	[0..1]	Text		2289
	PostalAddress <PstlAdr>	[1..10]	±	C23	2289
	Citizenship <Ctznsh>	[0..3]			2290
	Nationality <Ntltty>	[1..1]	CodeSet	C35	2291
	MinorIndicator <Mnrlnd>	[1..1]	Indicator		2291
	EmployingCompany <EmplngCpny>	[0..1]	Text		2291
	BusinessFunction <BizFctn>	[0..1]	Text		2291
	PoliticallyExposedPerson <PltclYXpsdPrsn>	[0..1]		C29	2291
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2293
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2294
	DeathDate <DthDt>	[0..1]	Date		2294
	CivilStatus <CvlSts>	[0..1]			2294
{Or	Code <Cd>	[1..1]	CodeSet		2294
Or}	Proprietary <Prtry>	[1..1]	±		2295
	EducationLevel <EdctnLvl>	[0..1]	Text		2295

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FamilyInformation <FmlyInf>	[0..1]			2295
	NameOfFather <NmOfFthr>	[0..1]	Text		2295
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2296
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2296
	GDPRData <GDPRData>	[0..*]			2296
	ConsentType <CnsntTp>	[1..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2296
Or}	Proprietary <Prtry>	[1..1]	±		2297
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2297
	ConsentDate <CnsntDt>	[1..1]	Date		2297

#### 66.1.32.3.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Term used to address the person.

**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2287
Or}	Proprietary <Prtry>	[1..1]	±		2287

##### 66.1.32.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a code.

*Datatype:* "NamePrefix1Code" on page 2764

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.

##### 66.1.32.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.3.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.32.3.3 MiddleName <MddINm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.32.3.4 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that person.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.32.3.5 NameSuffix <NmSfx>

*Presence:* [0..1]

*Definition:* Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.32.3.6 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* "[Gender1Code](#)" on page 2742

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

#### 66.1.32.3.7 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person was born.

*Datatype:* "[ISODate](#)" on page 2822

**66.1.32.3.8 CountryOfBirth <CtryOfBirth>**

*Presence:* [0..1]

*Definition:* Country where the person was born.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.32.3.9 ProvinceOfBirth <PrvcOfBirth>**

*Presence:* [0..1]

*Definition:* Province where the person was born.

*Datatype:* "Max35Text" on page 2837

**66.1.32.3.10 CityOfBirth <CityOfBirth>**

*Presence:* [0..1]

*Definition:* City where the person was born.

*Datatype:* "Max35Text" on page 2837

**66.1.32.3.11 Profession <Prfssn>**

*Presence:* [0..1]

*Definition:* Name of the occupation or job of the person.

*Datatype:* "Max35Text" on page 2837

**66.1.32.3.12 PostalAddress <PstlAdr>**

*Presence:* [1..10]

*Definition:* Address of the person.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.32.3.13 Citizenship <CtznsH>

*Presence:* [0..3]

*Definition:* Nationality and legal status (minor or major).

**Citizenship <Ctznsh>** contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2291
	MinorIndicator <MnrInd>	[1..1]	Indicator		2291

#### 66.1.32.3.13.1 Nationality <Ntlty>

*Presence:* [1..1]

*Definition:* Country where a person was born or is legally accepted as belonging to the country.

*Impacted by:* C35 "ValidationByTable"

*Datatype:* "NationalityCode" on page 2764

##### Constraints

- **ValidationByTable**

Must be a valid nationality.

#### 66.1.32.3.13.2 MinorIndicator <MnrInd>

*Presence:* [1..1]

*Definition:* Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.32.3.14 EmployingCompany <EmplngCpny>

*Presence:* [0..1]

*Definition:* Organisation represented by a person, or for which a person works.

*Datatype:* "Max140Text" on page 2836

#### 66.1.32.3.15 BusinessFunction <BizFctn>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 2837

#### 66.1.32.3.16 PoliticallyExposedPerson <PltcllyXpsdPrsn>

*Presence:* [0..1]

*Definition:* Politically exposed person checks.

*Impacted by:* C29 "PoliticallyExposedPersonTypeRule"

**PoliticallyExposedPerson** <PltclYXpsdPrsn> contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2293
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2294

#### Constraints

- PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

#### 66.1.32.3.16.1 PoliticallyExposedPersonType <PltclYXpsdPrsnTp>

*Presence:* [1..1]

*Definition:* Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

**PoliticallyExposedPersonType** <PltclYXpsdPrsnTp> contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2293

##### 66.1.32.3.16.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a code.

*Datatype:* "PoliticalExposureType2Code" on page 2776

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.



**66.1.32.3.16.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of political exposure expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.32.3.16.2 PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>***Presence:* [0..1]*Definition:* Status of the politically exposed person.**PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>** contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2294

**66.1.32.3.16.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Status of the politically exposed person expressed as a code.*Datatype:* "[PoliticallyExposedPersonStatus1Code](#)" on page 2776

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.

CodeName	Name	Definition
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

#### 66.1.32.3.16.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the politically exposed person expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.3.17 DeathDate <DthDt>

*Presence:* [0..1]

*Definition:* Date of death.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.32.3.18 CivilStatus <CvlSts>

*Presence:* [0..1]

*Definition:* Civil status of the individual person.

**CivilStatus <CvlSts>** contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2294
Or}	Proprietary <Prtry>	[1..1]	±		2295

##### 66.1.32.3.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Civil status expressed as a code.

*Datatype:* "[CivilStatus1Code](#)" on page 2720

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

#### 66.1.32.3.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Civil status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.3.19 EducationLevel <EdctnLvl>

*Presence:* [0..1]

*Definition:* Highest level of education reached by the individual person.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.32.3.20 FamilyInformation <FmlyInf>

*Presence:* [0..1]

*Definition:* Information related to the person.

**FamilyInformation <FmlyInf>** contains the following **PersonalInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2295
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2296
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2296

##### 66.1.32.3.20.1 NameOfFather <NmOfFthr>

*Presence:* [0..1]

*Definition:* Name of the father of the individual person.

*Datatype:* "[Max35Text](#)" on page 2837

**66.1.32.3.20.2 MaidenNameOfMother <MdnNmOfMthr>***Presence:* [0..1]*Definition:* Maiden (unmarried) name of the mother of the individual person.*Datatype:* "Max35Text" on page 2837**66.1.32.3.20.3 NameOfPartner <NmOfPrtnr>***Presence:* [0..1]*Definition:* Name of the partner of the individual person.*Datatype:* "Max35Text" on page 2837**66.1.32.3.21 GDPRData <GDPRData>***Presence:* [0..\*]*Definition:* Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.**GDPRData <GDPRData>** contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2296
Or}	Proprietary <Prtry>	[1..1]	±		2297
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2297
	ConsentDate <CnsntDt>	[1..1]	Date		2297

**66.1.32.3.21.1 ConsentType <CnsntTp>***Presence:* [1..1]*Definition:* Type of consent.**ConsentType <CnsntTp>** contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2296
Or}	Proprietary <Prtry>	[1..1]	±		2297

**66.1.32.3.21.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Consent type expressed as a code.*Datatype:* "GDPRDataConsent1Code" on page 2741

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.

CodeName	Name	Definition
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

#### 66.1.32.3.21.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Consent type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.3.21.2 ConsentIndicator <CnsntInd>

*Presence:* [1..1]

*Definition:* Indicates whether consent has been given.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

#### 66.1.32.3.21.3 ConsentDate <CnsntDt>

*Presence:* [1..1]

*Definition:* Date of the consent.

*Datatype:* "[ISODate](#)" on page 2822

#### 66.1.32.4 IndividualPerson30

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2298
	MiddleName <MddlNm>	[0..1]	Text		2298
	Name <Nm>	[1..1]	Text		2298
	Gender <Gndr>	[0..1]	CodeSet		2298
	BirthDate <BirthDt>	[0..1]	Date		2298

#### 66.1.32.4.1 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "Max35Text" on page 2837

#### 66.1.32.4.2 MiddleName <MddlNm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "Max35Text" on page 2837

#### 66.1.32.4.3 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 2837

#### 66.1.32.4.4 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* "GenderCode" on page 2742

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

#### 66.1.32.4.5 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2822

#### 66.1.32.5 IndividualPerson32

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2299
	BirthDate <BirthDt>	[0..1]	Date		2299
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2299
	OtherIdentification <OthrlId>	[0..*]			2299
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer </ssr>	[0..1]	Text		2301

**Constraints**

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**66.1.32.5.1 Name <Nm>**

*Presence:* [0..1]

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

*Datatype:* "Max350Text" on page 2837

**66.1.32.5.2 BirthDate <BirthDt>**

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2822

**66.1.32.5.3 CountryAndResidentialStatus <CtryAndResdtlSts>**

*Presence:* [0..1]

*Definition:* Country and residential status of the individual, for example, non-permanent resident.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "CountryAndResidentialStatusType2" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C12	2075
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		2075

**66.1.32.5.4 OtherIdentification <OthrlId>**

*Presence:* [0..\*]

**Definition:** Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2300
	IdentificationType <IdTp>	[1..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301
	Issuer <Issr>	[0..1]	Text		2301

#### 66.1.32.5.4.1 Identification <Id>

**Presence:** [1..1]

**Definition:** Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

**Datatype:** "Max35Text" on page 2837

#### 66.1.32.5.4.2 IdentificationType <IdTp>

**Presence:** [1..1]

**Definition:** Specifies the nature of the identifier.

**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2301

#### 66.1.32.5.4.2.1 Code <Cd>

**Presence:** [1..1]

**Definition:** Type of identification expressed as a code.

**Datatype:** "PartyIdentificationType7Code" on page 2770

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
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.
OTHR	Other	Another type of identification type.



CodeName	Name	Definition
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 66.1.32.5.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.5.4.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identifier.

*Datatype:* "Max35Text" on page 2837

### 66.1.32.6 IndividualPerson8

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2302
	GivenName <GvnNm>	[1..1]	Text		2302
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2302
	NameSuffix <NmSfx>	[0..1]	Text		2303
	Gender <Gndr>	[0..1]	CodeSet		2303
	BirthDate <BirthDt>	[0..1]	Date		2303
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2303
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2303

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

#### 66.1.32.6.1 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 2837

#### 66.1.32.6.2 GivenName <GvnNm>

*Presence:* [1..1]

*Definition:* First name of a person.

*Datatype:* "Max35Text" on page 2837

#### 66.1.32.6.3 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* "NamePrefix1Code" on page 2764

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.

**66.1.32.6.4 NameSuffix <NmSfx>***Presence:* [0..1]*Definition:* Additional information about a person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).*Datatype:* "Max35Text" on page 2837**66.1.32.6.5 Gender <Gndr>***Presence:* [0..1]*Definition:* Specifies the gender of the person.*Datatype:* "GenderCode" on page 2742

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

**66.1.32.6.6 BirthDate <BirthDt>***Presence:* [0..1]*Definition:* Date on which a person is born.*Datatype:* "ISODate" on page 2822**66.1.32.6.7 SocialSecurityNumber <SciSctyNb>***Presence:* [0..1]*Definition:* Number assigned by a social security agency.*Datatype:* "Max35Text" on page 2837**66.1.32.6.8 IndividualInvestorAddress <IndvInvstrAdr>***Presence:* [1..1]*Definition:* Postal address of a party.**IndividualInvestorAddress <IndvInvstrAdr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

**66.1.32.7 IndividualPerson38**

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2306
{Or	Code <Cd>	[1..1]	CodeSet		2306
Or}	Proprietary <Prtry>	[1..1]	±		2307
	GivenName <GvnNm>	[0..1]	Text		2307
	MiddleName <MddlNm>	[0..1]	Text		2307
	Name <Nm>	[1..1]	Text		2307
	NameSuffix <NmSfx>	[0..1]	Text		2307
	Gender <Gndr>	[0..1]	CodeSet		2307
	BirthDate <BirthDt>	[0..1]	Date		2308
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C12	2308
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2308
	CityOfBirth <CityOfBirth>	[0..1]	Text		2308
	Profession <Prfssn>	[0..1]	Text		2308
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2308
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2309
	PostalAddress <PstlAdr>	[1..1]	±	C23	2309
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2310
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2311
	Citizenship <Ctzsh>	[1..1]			2311
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2311
	MinorIndicator <Mnrlnd>	[1..1]	Indicator		2311
	EmployingCompany <EmplngCpny>	[0..1]	Text		2312
	BusinessFunction <BizFctn>	[0..1]	Text		2312
	PoliticallyExposedPerson <PltclyXpsdPrsn>	[0..1]		C29	2312
	PoliticallyExposedPersonType <PltclyXpsdPrsnTp>	[1..1]			2312
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2313
	PoliticallyExposedPersonStatus <PltclyXpsdPrsnSts>	[0..1]			2313
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2314
	DeathDate <DthDt>	[0..1]	Date		2314

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CivilStatus <Cv/Sts>	[0..1]			2315
{Or	Code <Cd>	[1..1]	CodeSet		2315
Or}	Proprietary <Prtry>	[1..1]	±		2315
	EducationLevel <EdctnLvl>	[0..1]	Text		2315
	FamilyInformation <FmlyInf>	[0..1]			2316
	NameOfFather <NmOfFthr>	[0..1]	Text		2316
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2316
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2316
	GDPRData <GDPRData>	[0..*]			2316
	ConsentType <CnsntTp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2317
Or}	Proprietary <Prtry>	[1..1]	±		2317
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2317
	ConsentDate <CnsntDt>	[1..1]	Date		2318

#### 66.1.32.7.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Term used to address the person.

**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2306
Or}	Proprietary <Prtry>	[1..1]	±		2307

##### 66.1.32.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a code.

*Datatype:* "NamePrefix1Code" on page 2764

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.

**66.1.32.7.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name prefix expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.32.7.2 GivenName <GvnNm>***Presence:* [0..1]*Definition:* First name of the person.*Datatype:* "[Max35Text](#)" on page 2837**66.1.32.7.3 MiddleName <MddINm>***Presence:* [0..1]*Definition:* Second name of the person.*Datatype:* "[Max35Text](#)" on page 2837**66.1.32.7.4 Name <Nm>***Presence:* [1..1]*Definition:* Name by which the party is known and which is usually used to identify that person.*Datatype:* "[Max350Text](#)" on page 2837**66.1.32.7.5 NameSuffix <NmSfx>***Presence:* [0..1]*Definition:* Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).*Datatype:* "[Max35Text](#)" on page 2837**66.1.32.7.6 Gender <Gndr>***Presence:* [0..1]*Definition:* Gender of the person.*Datatype:* "[Gender1Code](#)" on page 2742

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

**66.1.32.7.7 BirthDate <BirthDt>***Presence:* [0..1]*Definition:* Date on which the person was born.*Datatype:* "ISODate" on page 2822**66.1.32.7.8 CountryOfBirth <CtryOfBirth>***Presence:* [0..1]*Definition:* Country where the person was born.*Impacted by:* C12 "Country"*Datatype:* "CountryCode" on page 2726**Constraints**

- **Country**

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

**66.1.32.7.9 ProvinceOfBirth <PrvcOfBirth>***Presence:* [0..1]*Definition:* Province where the person was born.*Datatype:* "Max35Text" on page 2837**66.1.32.7.10 CityOfBirth <CityOfBirth>***Presence:* [0..1]*Definition:* City where the person was born.*Datatype:* "Max35Text" on page 2837**66.1.32.7.11 Profession <Prfssn>***Presence:* [0..1]*Definition:* Name of the occupation or job of the person.*Datatype:* "Max35Text" on page 2837**66.1.32.7.12 ModifiedPostalAddress <ModfdPstlAdr>***Presence:* [0..\*]*Definition:* Information related to an address to be inserted, updated or deleted.**ModifiedPostalAddress <ModfdPstlAdr>** contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2309
	PostalAddress <PstlAdr>	[1..1]	±	C23	2309



**66.1.32.7.12.1 ModificationScopeIndication <ModScplndctn>**

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**66.1.32.7.12.2 PostalAddress <PstlAdr>**

*Presence:* [1..1]

*Definition:* Address of the organisation.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstAdr>** contains the following elements (see "PostalAddress21" on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdInBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.32.7.13 ModifiedCitizenship <ModfdCtznsh>

*Presence:* [0..3]

*Definition:* Citizenship information to be inserted or deleted.

**ModifiedCitizenship <ModfdCtzns>** contains the following **ModificationScope39** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2311
	Citizenship <Ctzns>	[1..1]			2311
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2311
	MinorIndicator <MnrInd>	[1..1]	Indicator		2311

#### 66.1.32.7.13.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification2Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.32.7.13.2 Citizenship <Ctzns>

*Presence:* [1..1]

*Definition:* Nationality and legal status (minor or major).

**Citizenship <Ctzns>** contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2311
	MinorIndicator <MnrInd>	[1..1]	Indicator		2311

#### 66.1.32.7.13.2.1 Nationality <Ntlty>

*Presence:* [1..1]

*Definition:* Country where a person was born or is legally accepted as belonging to the country.

*Impacted by:* C35 "ValidationByTable"

*Datatype:* "NationalityCode" on page 2764

##### Constraints

- **ValidationByTable**

Must be a valid nationality.

#### 66.1.32.7.13.2.2 MinorIndicator <MnrInd>

*Presence:* [1..1]

*Definition:* Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.32.7.14 EmployingCompany <EmplngCpny>

*Presence:* [0..1]

*Definition:* Organisation represented by a person, or for which a person works.

*Datatype:* "Max140Text" on page 2836

#### 66.1.32.7.15 BusinessFunction <BizFctn>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 2837

#### 66.1.32.7.16 PoliticallyExposedPerson <PltcllyXpsdPrsn>

*Presence:* [0..1]

*Definition:* Politically exposed person checks.

*Impacted by:* C29 "PoliticallyExposedPersonTypeRule"

**PoliticallyExposedPerson <PltcllyXpsdPrsn>** contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>	[1..1]			2312
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2313
	PoliticallyExposedPersonStatus <PltcllyXpsdPrsnSts>	[0..1]			2313
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2314

#### Constraints

- **PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

#### 66.1.32.7.16.1 PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>

*Presence:* [1..1]

*Definition:* Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

**PoliticallyExposedPersonType <PltclYXpsdPrsnTp>** contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2313

#### 66.1.32.7.16.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a code.

*Datatype:* "PoliticalExposureType2Code" on page 2776

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

#### 66.1.32.7.16.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.7.16.2 PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>

*Presence:* [0..1]

*Definition:* Status of the politically exposed person.

**PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>** contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2313
Or}	Proprietary <Prtry>	[1..1]	±		2314

#### 66.1.32.7.16.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status of the politically exposed person expressed as a code.

*Datatype:* "PoliticallyExposedPersonStatus1Code" on page 2776

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

#### 66.1.32.7.16.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the politically exposed person expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.7.17 DeathDate <DthDt>

*Presence:* [0..1]

*Definition:* Date of death.

*Datatype:* "ISODate" on page 2822

**66.1.32.7.18 CivilStatus <CvISts>***Presence:* [0..1]*Definition:* Civil status of the individual person.**CivilStatus <CvISts>** contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2315
Or}	Proprietary <Prtry>	[1..1]	±		2315

**66.1.32.7.18.1 Code <Cd>***Presence:* [1..1]*Definition:* Civil status expressed as a code.*Datatype:* "CivilStatus1Code" on page 2720

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

**66.1.32.7.18.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Civil status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.32.7.19 EducationLevel <EdctnLvl>***Presence:* [0..1]*Definition:* Highest level of education reached by the individual person.*Datatype:* "Max35Text" on page 2837

**66.1.32.7.20 FamilyInformation <FmlyInf>***Presence:* [0..1]*Definition:* Information related to the person.**FamilyInformation <FmlyInf>** contains the following **PersonalInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2316
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2316
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2316

**66.1.32.7.20.1 NameOfFather <NmOfFthr>***Presence:* [0..1]*Definition:* Name of the father of the individual person.*Datatype:* "Max35Text" on page 2837**66.1.32.7.20.2 MaidenNameOfMother <MdnNmOfMthr>***Presence:* [0..1]*Definition:* Maiden (unmarried) name of the mother of the individual person.*Datatype:* "Max35Text" on page 2837**66.1.32.7.20.3 NameOfPartner <NmOfPrtnr>***Presence:* [0..1]*Definition:* Name of the partner of the individual person.*Datatype:* "Max35Text" on page 2837**66.1.32.7.21 GDPRData <GDPRData>***Presence:* [0..\*]*Definition:* Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.**GDPRData <GDPRData>** contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2317
Or}	Proprietary <Prtry>	[1..1]	±		2317
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2317
	ConsentDate <CnsntDt>	[1..1]	Date		2318

**66.1.32.7.21.1 ConsentType <CnsntTp>***Presence:* [1..1]



*Definition:* Type of consent.

**ConsentType <CnsntTp>** contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2317
Or}	Proprietary <Prtry>	[1..1]	±		2317

#### 66.1.32.7.21.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Consent type expressed as a code.

*Datatype:* "GDPRDataConsent1Code" on page 2741

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

#### 66.1.32.7.21.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Consent type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.32.7.21.2 ConsentIndicator <CnsntInd>

*Presence:* [1..1]

*Definition:* Indicates whether consent has been given.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.32.7.21.3 ConsentDate <CnsntDt>

*Presence:* [1..1]

*Definition:* Date of the consent.

*Datatype:* ["ISODate"](#) on page 2822

#### 66.1.32.8 ContactIdentification2

*Definition:* Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2318
	GivenName <GvnNm>	[0..1]	Text		2318
	Name <Nm>	[1..1]	Text		2319
	PhoneNumber <PhneNb>	[0..1]	Text		2319
	MobileNumber <MobNb>	[0..1]	Text		2319
	FaxNumber <FaxNb>	[0..1]	Text		2319
	EmailAddress <EmailAdr>	[0..1]	Text		2319

#### 66.1.32.8.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* ["NamePrefix1Code"](#) on page 2764

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.

#### 66.1.32.8.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of a person.

*Datatype:* ["Max35Text"](#) on page 2837

**66.1.32.8.3 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 2837**66.1.32.8.4 PhoneNumber <PhneNb>***Presence:* [0..1]*Definition:* Collection of information that identifies a phone number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2838**66.1.32.8.5 MobileNumber <MobNb>***Presence:* [0..1]*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2838**66.1.32.8.6 FaxNumber <FaxNb>***Presence:* [0..1]*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2838**66.1.32.8.7 EmailAddress <EmailAdr>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 2837**66.1.33 Postal Address****66.1.33.1 DeliveryParameters3***Definition:* Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2319
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2320

**66.1.33.1.1 Address <Adr>***Presence:* [1..1]*Definition:* Address for physical delivery.

**Address <Adr>** contains the following elements (see ["NameAndAddress4"](#) on page 2323 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

#### 66.1.33.1.2 IssuedCertificateNumber <IssdCertNb>

*Presence:* [0..1]

*Definition:* Certificate representing a security that is delivered.

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.33.2 LongPostalAddress1Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2320
Or}	Structured <Strd>	[1..1]	±	C14	2320

##### 66.1.33.2.1 Unstructured <Ustrd>

*Presence:* [1..1]

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

*Datatype:* ["Max140Text"](#) on page 2836

##### 66.1.33.2.2 Structured <Strd>

*Presence:* [1..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in a formal structure.

*Impacted by:* [C14 "StreetNameAndOrPostOfficeBoxRule"](#)

**Structured <Strd>** contains the following elements (see "[StructuredLongPostalAddress1](#)" on page 2554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		2554
	StreetName <StrtNm>	[0..1]	Text		2554
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		2554
	Floor <Flr>	[0..1]	Text		2555
	TownName <TwnNm>	[1..1]	Text		2555
	DistrictName <DstrctNm>	[0..1]	Text		2555
	RegionIdentification <RgnId>	[0..1]	Text		2555
	State <Stat>	[0..1]	Text		2555
	CountyIdentification <CtyId>	[0..1]	Text		2555
	Country <Ctry>	[1..1]	CodeSet	C12	2555
	PostCodeIdentification <PstCdId>	[1..1]	Text		2556
	PostOfficeBox <POB>	[0..1]	Text		2556

#### Constraints

- **StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### 66.1.33.3 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		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

#### 66.1.33.3.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 2712

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.

#### 66.1.33.3.2 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 2838

#### 66.1.33.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 2838

#### 66.1.33.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 2836

#### 66.1.33.3.5 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 2836

#### 66.1.33.3.6 TownName <TwnNm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.33.3.7 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

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

Datatype: "Max35Text" on page 2837

#### 66.1.33.3.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C12 "Country"

Datatype: "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.33.4 NameAndAddress4

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

##### 66.1.33.4.1 Name <Nm>

Presence: [0..1]

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

Datatype: "Max350Text" on page 2837

##### 66.1.33.4.2 Address <Adr>

Presence: [1..1]

Definition: Postal address of the party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

### 66.1.33.5 NameAndAddress5

*Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2324
	Address <Adr>	[0..1]	±		2324

#### 66.1.33.5.1 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 2837

#### 66.1.33.5.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 2321 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2321
	AddressLine <AdrLine>	[0..5]	Text		2322
	StreetName <StrtNm>	[0..1]	Text		2322
	BuildingNumber <BldgNb>	[0..1]	Text		2322
	PostCode <PstCd>	[0..1]	Text		2322
	TownName <TwnNm>	[0..1]	Text		2322
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2322
	Country <Ctry>	[1..1]	CodeSet	C12	2323

### 66.1.33.6 PostalAddress21

*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]			2325
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326
	MailingIndicator <MIngInd>	[0..1]	Indicator		2326
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2326
	CareOf <CareOf>	[0..1]	Text		2327
	AddressLine <AdrLine>	[0..5]	Text		2327
	StreetName <StrtNm>	[0..1]	Text		2327
	BuildingNumber <BldgNb>	[0..1]	Text		2327
	BuildingName <BldgNm>	[0..1]	Text		2327
	PostBox <PstBx>	[0..1]	Text		2327
	SideInBuilding <SdlnBldg>	[0..1]	Text		2327
	Floor <Flr>	[0..1]	Text		2327
	SuiteIdentification <SuiteId>	[0..1]	Text		2328
	PostCode <PstCd>	[0..1]	Text		2328
	DistrictName <DstrctNm>	[0..1]	Text		2328
	Village <Vllg>	[0..1]	Text		2328
	TownName <TwnNm>	[0..1]	Text		2328
	State <Stat>	[0..1]	Text		2328
	Country <Ctry>	[1..1]	CodeSet	C12	2328

### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 66.1.33.6.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Type of address.

**AddressType <AdrTp>** contains one of the following **AddressType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

**66.1.33.6.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of address expressed as a code.*Datatype:* "AddressType2Code" on page 2712

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.

**66.1.33.6.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of address expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.33.6.2 MailingIndicator <MIngInd>***Presence:* [0..1]*Definition:* Indicates whether mail should be sent to the address.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.33.6.3 RegistrationAddressIndicator <RegnAdrlnd>***Presence:* [0..1]*Definition:* Indicates whether the address is the official address of the party.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.33.6.4 CareOf <CareOf>**

*Presence:* [0..1]

*Definition:* When the individual resides at another person's address, the name of the other person.

*Datatype:* "Max70Text" on page 2838

**66.1.33.6.5 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 2838

**66.1.33.6.6 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of the street or thoroughfare.

*Datatype:* "Max70Text" on page 2838

**66.1.33.6.7 BuildingNumber <BldgNb>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 2836

**66.1.33.6.8 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 2837

**66.1.33.6.9 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Post box number of the addressee within the residential or company building.

*Datatype:* "Max10Text" on page 2836

**66.1.33.6.10 SideInBuilding <SdInBldg>**

*Presence:* [0..1]

*Definition:* Side or wing of the building, for example, 'wing A'.

*Datatype:* "Max35Text" on page 2837

**66.1.33.6.11 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within the building.

*Datatype:* "Max70Text" on page 2838

**66.1.33.6.12 SuiteIdentification <SuiteId>**

*Presence:* [0..1]

*Definition:* Identification of the suite or apartment.

*Datatype:* "Max10Text" on page 2836

**66.1.33.6.13 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 2836

**66.1.33.6.14 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Name of a district, that is, a part of the town or region.

*Datatype:* "Max35Text" on page 2837

**66.1.33.6.15 Village <Vllg>**

*Presence:* [0..1]

*Definition:* Name of the village.

*Datatype:* "Max70Text" on page 2838

**66.1.33.6.16 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of the town or city.

*Datatype:* "Max35Text" on page 2837

**66.1.33.6.17 State <Stat>**

*Presence:* [0..1]

*Definition:* Name of the state, county or country sub-division.

*Datatype:* "Max70Text" on page 2838

**66.1.33.6.18 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Country of the address.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.33.7 DeliveryParameters4**

*Definition:* Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2329
	NameAndAddress <NmAndAdr>	[0..1]	±		2329
	ContactPerson <CtctPrsn>	[0..1]	±		2329

**Constraints**

- **NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**66.1.33.7.1 RegisteredAddressIndicator <RegdAdrlnd>**

*Presence:* [1..1]

*Definition:* Indicates whether the address for the physical delivery is the registered address.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

**66.1.33.7.2 NameAndAddress <NmAndAdr>**

*Presence:* [0..1]

*Definition:* Name and address to/from which the physical delivery/receipt of the financial instrument must take place.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress4" on page 2323](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2323
	Address <Adr>	[1..1]	±		2323

**66.1.33.7.3 ContactPerson <CtctPrsn>**

*Presence:* [0..1]

*Definition:* Contact person and contact information.

**ContactPerson <CtctPrsn>** contains the following elements (see "[ContactIdentification2](#)" on page 2318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2318
	GivenName <GvnNm>	[0..1]	Text		2318
	Name <Nm>	[1..1]	Text		2319
	PhoneNumber <PhneNb>	[0..1]	Text		2319
	MobileNumber <MobNb>	[0..1]	Text		2319
	FaxNumber <FaxNb>	[0..1]	Text		2319
	EmailAddress <EmailAdr>	[0..1]	Text		2319

### 66.1.33.8 PostalAddress6

*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		2330
	Department <Dept>	[0..1]	Text		2331
	SubDepartment <SubDept>	[0..1]	Text		2331
	StreetName <StrtNm>	[0..1]	Text		2331
	BuildingNumber <BldgNb>	[0..1]	Text		2331
	PostCode <PstCd>	[0..1]	Text		2331
	TownName <TwnNm>	[0..1]	Text		2331
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2331
	Country <Ctry>	[0..1]	CodeSet	C12	2332
	AddressLine <AdrLine>	[0..7]	Text		2332

#### 66.1.33.8.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "[AddressType2Code](#)" on page 2712

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.

CodeName	Name	Definition
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

#### 66.1.33.8.2 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "Max70Text" on page 2838

#### 66.1.33.8.3 SubDepartment <SubDept>

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* "Max70Text" on page 2838

#### 66.1.33.8.4 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 2838

#### 66.1.33.8.5 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 2836

#### 66.1.33.8.6 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 2836

#### 66.1.33.8.7 TownName <TwnNm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### 66.1.33.8.8 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country such as state, region, county.

*Datatype:* "Max35Text" on page 2837

**66.1.33.8.9 Country <Ctry>***Presence:* [0..1]*Definition:* Nation with its own government.*Impacted by:* C12 "Country"*Datatype:* "CountryCode" on page 2726**Constraints**

- Country**

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

**66.1.33.8.10 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 2838**66.1.34 Price****66.1.34.1 UnitPrice22***Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2332
	Value <Val>	[1..1]	±		2333
	PriceMethod <PricMtd>	[0..1]	CodeSet		2333
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2333
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2333
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2334
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2335

**66.1.34.1.1 Type <Tp>***Presence:* [1..1]*Definition:* Type and information about a price.



**Type <Tp>** contains one of the following elements (see ["TypeOfPrice46Choice"](#) on page 2337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2337
Or}	Proprietary <Prtry>	[1..1]	±		2338

#### 66.1.34.1.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, for example, as a currency and value.

**Value <Val>** contains the following elements (see ["PriceValue1"](#) on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

#### 66.1.34.1.3 PriceMethod <PricMtd>

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* ["PriceMethod1Code"](#) on page 2777

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

#### 66.1.34.1.4 NumberOfDaysAccrued <NbOfDaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* ["Number"](#) on page 2834

#### 66.1.34.1.5 TaxableIncomePerShare <TaxblIncmPerShr>

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* [C1 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyAnd13DecimalAmount"](#) on page 2704

**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.

**66.1.34.1.6 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>**

*Presence:* [0..1]

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

**TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>** contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2334
Or}	Proprietary <Prtry>	[1..1]	±		2334

**66.1.34.1.6.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Taxable income per share (TIS) calculated expressed as a code.

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2800

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

**66.1.34.1.6.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Taxable income per share calculated (TIS) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.34.1.7 PriceDifferenceReason <PricDiffRsn>***Presence:* [0..1]*Definition:* Reason why the price is different from the current market price.*Datatype:* "Max350Text" on page 2837**66.1.34.2 UnitPrice19***Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2335
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336
	Value <Val>	[1..1]	±		2336

**66.1.34.2.1 PriceType <PricTp>***Presence:* [1..1]*Definition:* Type of price.**PriceType <PricTp>** contains one of the following **UnitPriceType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2335
Or}	Proprietary <Prtry>	[1..1]	±		2336

**66.1.34.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of price expressed as a code.*Datatype:* "TypeOfPrice10Code" on page 2817

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-

CodeName	Name	Definition
		cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 66.1.34.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of price expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.34.2.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, that is, as a currency and value.

**Value <Val>** contains the following elements (see "PriceValue1" on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

### 66.1.34.3 TypeOfPrice46Choice

*Definition:* Choice of formats for a type of price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2337
Or}	Proprietary <Prtry>	[1..1]	±		2338

#### 66.1.34.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type expressed as a code.

*Datatype:* "TypeOfPrice10Code" on page 2817

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account

CodeName	Name	Definition
		the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 66.1.34.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.34.4 ProfitAndLoss2Choice

*Definition:* Choice between profit and loss.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C1, C13	2338
Or}	Loss <Loss>	[1..1]	Amount	C1, C13	2339

##### 66.1.34.4.1 Profit <Prft>

*Presence:* [1..1]

*Definition:* Value of the positive amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.34.4.2 Loss <Loss>**

*Presence:* [1..1]

*Definition:* Value of the negative amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.34.5 UnitPrice15**

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2341
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2343
	PriceMethod <PricMtd>	[0..1]	CodeSet		2343
	ValueInInvestmentCurrency <VallnInvstmtCcy>	[1..*]	±		2343
	ValueInAlternativeCurrency <VallnAltrntvCcy>	[0..*]	±		2343
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2343
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2344
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2344
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2344
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2344
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2344
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2345
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2345
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2345
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2345
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2346
	ChargeDetails <ChrgDtls>	[0..*]			2346
{Or	Type <Tp>	[1..1]	CodeSet		2346
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2347
{Or	Amount <Amt>	[1..1]	Amount	C1	2347
Or}	Rate <Rate>	[1..1]	Rate		2348
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2348
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2348
	TaxLiabilityDetails <TaxLbiltyDtls>	[0..*]		C4	2348
{Or	Type <Tp>	[1..1]	CodeSet		2349
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2350
	Amount <Amt>	[0..7]	Amount	C2	2350
	Rate <Rate>	[0..1]	Rate		2350
	Country <Ctry>	[1..1]	CodeSet	C12	2350
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2351
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2351



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2351
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2352
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2352
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2352
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2352
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2353
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2353
{Or	Type <Tp>	[1..1]	CodeSet		2353
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2354
	Amount <Amt>	[0..7]	Amount	C2	2354
	Rate <Rate>	[0..1]	Rate		2355
	Country <Ctry>	[1..1]	CodeSet	C12	2355
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2355
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2355
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2356
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2356
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2356
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2356
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2357
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2357

### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

#### 66.1.34.5.1 Type <Tp>

Presence: [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "TypeOfPrice9Code" on page 2820

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that

CodeName	Name	Definition
		is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

**66.1.34.5.2 ExtendedType <XtndedTp>***Presence:* [1..1]**Warning** Either Type or ExtendedType must be present, but not both.*Definition:* Type and information about a price.*Datatype:* "Extended350Code" on page 2836**66.1.34.5.3 PriceMethod <PricMtd>***Presence:* [0..1]*Definition:* Type of pricing calculation method.*Datatype:* "PriceMethod1Code" on page 2777

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**66.1.34.5.4 ValueInInvestmentCurrency <VallnInvstmtCcy>***Presence:* [1..\*]*Definition:* Value of the price, eg, as a currency and value.**ValueInInvestmentCurrency <VallnInvstmtCcy>** contains the following elements (see "PriceValue1" on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

**66.1.34.5.5 ValueInAlternativeCurrency <VallnAltrntvCcy>***Presence:* [0..\*]*Definition:* Value of the price, eg, as a currency and value.**ValueInAlternativeCurrency <VallnAltrntvCcy>** contains the following elements (see "PriceValue1" on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

**66.1.34.5.6 ForExecutionIndicator <ForExctnInd>***Presence:* [1..1]*Definition:* Indicates whether the price information can be used for the execution of a transaction.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.34.5.7 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, ie, cum-dividend, in the price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.34.5.8 CalculationBasis <ClctnBsis>

*Presence:* [0..1]

*Definition:* Ratio applied on the non-adjusted price.

*Datatype:* ["PercentageRate" on page 2835](#)

#### 66.1.34.5.9 EstimatedPriceIndicator <EstmtdPricInd>

*Presence:* [1..1]

*Definition:* Indicates whether the price is an estimated price.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.34.5.10 NumberOfDaysAccrued <NbOfDaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days from trade date that the counterparty on the other side of the trade should "given up" or divulged.

*Datatype:* ["Number" on page 2834](#)

#### 66.1.34.5.11 TaxableIncomePerShare <TaxblIncmPerShr>

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705](#)

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.12 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

*Presence:* [0..1]

**Warning** Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2800

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

#### 66.1.34.5.13 ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>

*Presence:* [0..1]

**Warning** Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.14 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.15 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUDividendStatus1Code" on page 2732

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

#### 66.1.34.5.16 ExtendedEUDividendStatus <XtndedEUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.17 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Amount of money associated with a service.

**ChargeDetails <ChrgDtls>** contains the following **Charge15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2346
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2347
{Or	Amount <Amt>	[1..1]	Amount	C1	2347
Or}	Rate <Rate>	[1..1]	Rate		2348
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2348
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2348

##### 66.1.34.5.17.1 Type <Tp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of service for which a charge is asked or paid.

*Datatype:* "ChargeType9Code" on page 2719

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.1.34.5.17.2 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of service for which a charge is asked or paid.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.17.3 Amount <Amt>

*Presence:* [1..1]

**Warning** Either Amount or Rate must be present, but not both.

*Definition:* Amount of money asked or paid for the charge.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 66.1.34.5.17.4 Rate <Rate>

*Presence:* [1..1]

**Warning** Either Amount or Rate must be present, but not both.

*Definition:* Rate used to calculate the amount of the charge or fee.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.17.5 CalculationBasis <ClctnBsis>

*Presence:* [0..1]

**Warning** Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

*Definition:* Calculation basis for the charge or fee.

*Datatype:* "CalculationBasis2Code" on page 2715

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

#### 66.1.34.5.17.6 ExtendedCalculationBasis <XtndedClctnBsis>

*Presence:* [0..1]

**Warning** Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

*Definition:* Calculation basis for the charge or fee.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.18 TaxLiabilityDetails <TaxLbiltyDtls>

*Presence:* [0..\*]

*Definition:* Information related to taxes that are due.

*Impacted by:* C4 "AmountAndOrRateRule"



**TaxLiabilityDetails <TaxLblyDtls>** contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2349
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2350
	Amount <Amt>	[0..7]	Amount	C2	2350
	Rate <Rate>	[0..1]	Rate		2350
	Country <Ctry>	[1..1]	CodeSet	C12	2350
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2351
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2351
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2351
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2352
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2352
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2352
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2352
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2353

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

#### 66.1.34.5.18.1 Type <Tp>

Presence: [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of tax applied.

*Datatype:* "TaxType12Code" on page 2808

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old

CodeName	Name	Definition
		Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

#### 66.1.34.5.18.2 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of tax applied.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.18.3 Amount <Amt>

*Presence:* [0..7]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.18.4 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.18.5 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.34.5.18.6 TaxCalculationDetails <TaxClctnDtls>**

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2351
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2351
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2352
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2352
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2352
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2352
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2353

**66.1.34.5.18.6.1 EUCapitalGain <EUCptlGn>**

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUCapitalGain2Code" on page 2732

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

**66.1.34.5.18.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>**

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.18.6.3 PercentageOfDebtClaim <PctgOfDebtCln>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.18.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

*Presence:* [0..1]

*Definition:* Percentage of grandfathered debt claim.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.18.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.18.6.6 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUDividendStatus1Code" on page 2732

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

**66.1.34.5.18.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>***Presence:* [0..1]**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.*Datatype:* "Extended350Code" on page 2836**66.1.34.5.19 TaxRefundDetails <TaxRfndDtls>***Presence:* [0..\*]*Definition:* Information related to taxes that are paid back.*Impacted by:* C4 "AmountAndOrRateRule"**TaxRefundDetails <TaxRfndDtls>** contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2353
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2354
	Amount <Amt>	[0..7]	Amount	C2	2354
	Rate <Rate>	[0..1]	Rate		2355
	Country <Ctry>	[1..1]	CodeSet	C12	2355
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2355
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2355
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2356
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2356
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2356
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2356
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2357
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2357

**Constraints**

- AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**66.1.34.5.19.1 Type <Tp>***Presence:* [1..1]**Warning** Either Type or ExtendedType must be present, but not both.*Definition:* Type of tax applied.

*Datatype:* "TaxType12Code" on page 2808

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

#### 66.1.34.5.19.2 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of tax applied.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.19.3 Amount <Amt>

*Presence:* [0..7]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.19.4 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.19.5 Country <Ctr>

*Presence:* [1..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 66.1.34.5.19.6 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2355
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2356
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2356
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2356
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2356
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2357
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2357

#### 66.1.34.5.19.6.1 EUCapitalGain <EUCptlGn>

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUCapitalGain2Code" on page 2732

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 66.1.34.5.19.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.5.19.6.3 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.19.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

*Presence:* [0..1]

*Definition:* Percentage of grandfathered debt claim.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.34.5.19.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)



contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.5.19.6.6 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUDividendStatus1Code" on page 2732

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

#### 66.1.34.5.19.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.6 PriceRateOrAmountOrUnknownChoice

*Definition:* Choice of formats for the price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2357
Or	Amount <Amt>	[1..1]	Amount	C2	2357
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2358

##### 66.1.34.6.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Price expressed as a rate, ie, percentage.

*Datatype:* "PercentageRate" on page 2835

##### 66.1.34.6.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.34.6.3 UnknownIndicator <UknwnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the market price is unknown.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.34.7 UnitPrice20

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2358
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359
	Value <Val>	[1..1]	±		2360
	PriceMethod <PricMtd>	[0..1]	CodeSet		2360

#### 66.1.34.7.1 PriceType <PricTp>

*Presence:* [1..1]

*Definition:* Type of price.

**PriceType <PricTp>** contains one of the following **UnitPriceType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2358
Or}	Proprietary <Prtry>	[1..1]	±		2359

#### 66.1.34.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of price expressed as a code.

*Datatype:* "TypeOfPrice10Code" on page 2817

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

**66.1.34.7.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of price expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.34.7.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, that is, as a currency and value.

**Value <Val>** contains the following elements (see "[PriceValue1](#)" on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

#### 66.1.34.7.3 PriceMethod <PricMtd>

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "[PriceMethod1Code](#)" on page 2777

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

#### 66.1.34.8 PriceInformation2

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2361
	ValueType <ValTp>	[0..1]	CodeSet		2361
{Or	Type <Tp>	[1..1]	CodeSet		2362
Or}	ExtendedType <XtnDedTp>	[1..1]	Text		2363
	SourceOfPrice <SrcOfPric>	[0..1]			2363
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364
	QuotationDate <QtnDt>	[0..1]	±		2364
	Yielded <Yldd>	[0..1]	Indicator		2364

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 66.1.34.8.1 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, eg, as a currency and value.

**Value <Val>** contains one of the following elements (see "[PriceRateOrAmountOrUnknownChoice](#)" on page 2357 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2357
Or	Amount <Amt>	[1..1]	Amount	C2	2357
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2358

#### 66.1.34.8.2 ValueType <ValTp>

*Presence:* [0..1]

*Definition:* Type of value in which the price is expressed.

*Datatype:* "[PriceValueType2Code](#)" on page 2778

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.

CodeName	Name	Definition
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

### 66.1.34.8.3 Type <Tp>

Presence: [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "TypeOfPrice11Code" on page 2818

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.

CodeName	Name	Definition
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

#### 66.1.34.8.4 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.34.8.5 SourceOfPrice <SrcOfPric>

*Presence:* [0..1]

*Definition:* Place from which the price was obtained.

**SourceOfPrice <SrcOfPric>** contains one of the following **PriceSourceFormatChoice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2363
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2363
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2364

##### 66.1.34.8.5.1 LocalMarketPlace <LclMktPlc>

*Presence:* [1..1]

*Definition:* Source of price quotation is the market, expressed as a Market Identifier Code (MIC).

*Datatype:* "MICIdentifier" on page 2830

##### 66.1.34.8.5.2 NonLocalMarketPlace <NonLclMktPlc>

*Presence:* [1..1]

*Definition:* Source of a price quotation when it is not the local market.

**NonLocalMarketPlace <NonLclMktPlc>** contains the following elements (see "PriceSource" on page 2364 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2364
	Narrative <Nrrtv>	[0..1]	Text		2365

**66.1.34.8.5.3 PlaceAsDSS <PlcAsDSS>***Presence:* [1..1]*Definition:* Source of a price quotation expressed with a propriety identification scheme.**PlaceAsDSS <PlcAsDSS>** contains the following elements (see "[GenericIdentification5](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1572
	Information <Inf>	[1..1]	Text		1572
	Narrative <Nrrtv>	[0..1]	Text		1572

**66.1.34.8.6 QuotationDate <QtnDt>***Presence:* [0..1]*Definition:* Date on which the price is obtained. With an investment fund, this is as stated in the prospectus.**QuotationDate <QtnDt>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

**66.1.34.8.7 Yielded <Yldd>***Presence:* [0..1]*Definition:* Indicates whether the price is expressed as a yield. The absence of Yielded means it is not applicable.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.34.9 PriceSource***Definition:* Source of a price quotation when it is not the local market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2364
	Narrative <Nrrtv>	[0..1]	Text		2365

**66.1.34.9.1 PriceSource <PricSrc>***Presence:* [1..1]*Definition:* Source of the price.



Datatype: "PriceSource1Code" on page 2778

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.

#### 66.1.34.9.2 Narrative <Nrrtv>

Presence: [0..1]

Definition: Additional information about the source of a price.

Datatype: "Max35Text" on page 2837

#### 66.1.34.10 PriceReport3

Definition: Information about a price report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2366
	Identification <Id>	[0..1]	Text		2366
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2367
	NAVDateTime <NAVDTm>	[1..1]	±		2367
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2367
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2368
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	2368
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2369
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2369
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2369
	ValuationType <ValtnTp>	[1..1]	CodeSet		2369
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2370
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2370
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2371
	PriceDetails <PricDtls>	[0..*]	±	C8	2371
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2373
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2375

**66.1.34.10.1 PriceValuationDetails <PricValtnDtls>***Presence:* [1..\*]*Definition:* Information related to the price valuation of a financial instrument.*Impacted by:* C19 "PriceDetailsRule"**PriceValuationDetails <PricValtnDtls>** contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2366
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2367
	NAVDateTime <NAVDtTm>	[1..1]	±		2367
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2367
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2368
	TotalNAV <TtlNAV>	[0..*]	Amount	C2, C10	2368
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2369
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2369
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2369
	ValuationType <ValtnTp>	[1..1]	CodeSet		2369
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2370
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2370
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2371
	PriceDetails <PricDtls>	[0..*]	±	C8	2371
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2373
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2375

**Constraints**• **PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

**66.1.34.10.1.1 Identification <Id>***Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2837

#### 66.1.34.10.1.2 ValuationDateTime <ValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the price valuation for the investment fund/fund class.

**ValuationDateTime <ValtnDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.34.10.1.3 NAVDateTime <NAVDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

**NAVDateTime <NAVDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.34.10.1.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class for which the net asset value is calculated.

*Impacted by:* C17 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument8" on page 1493 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1494
	Name <Nm>	[0..1]	Text		1495
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1495
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	1495
	ClassType <ClsTp>	[0..1]	Text		1496
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1496
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1496
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1496

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 66.1.34.10.1.5 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..1]

*Definition:* Issuer of the fund.

**FundManagementCompany <FndMgmtCpny>** contains one of the following elements (see "PartyIdentification2Choice" on page 1954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C5	1954
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1954
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1954

#### 66.1.34.10.1.6 TotalNAV <TtlnAV>

*Presence:* [0..\*]

*Definition:* Value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C2 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2705

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be 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.

#### 66.1.34.10.1.7 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.34.10.1.8 NextValuationDateTime <NxtValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the next price valuation for the investment fund/fund class.

**NextValuationDateTime <NxtValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.34.10.1.9 PreviousValuationDateTime <PrvsValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the previous price valuation for the investment fund/fund class.

**PreviousValuationDateTime <PrvsValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1442 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1442
Or}	DateTime <DtTm>	[1..1]	DateTime		1442

#### 66.1.34.10.1.10 ValuationType <ValtnTp>

*Presence:* [1..1]

*Definition:* Specifies how the valuation is done, based on the schedule stated in the prospectus.

*Datatype:* "[ValuationTiming1Code](#)" on page 2822

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

#### 66.1.34.10.1.11 ValuationFrequency <ValtnFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of the valuation.

*Datatype:* "EventFrequency1Code" on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 66.1.34.10.1.12 OfficialValuationIndicator <OffclValtnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation is an official valuation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.34.10.1.13 SuspendedIndicator <SspdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the valuation of the investment fund class is suspended.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

**66.1.34.10.1.14 PriceDetails <PricDtls>**

*Presence:* [0..\*]

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

*Impacted by:* [C8 "CalculationBasisRule"](#)

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice15" on page 2339 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2341
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2343
	PriceMethod <PricMtd>	[0..1]	CodeSet		2343
	ValueInInvestmentCurrency <ValInInvstmtCcy>	[1..*]	±		2343
	ValueInAlternativeCurrency <ValInAltrntvCcy>	[0..*]	±		2343
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2343
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2344
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2344
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2344
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2344
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2344
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2345
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2345
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2345
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2345
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2346
	ChargeDetails <ChrgDtls>	[0..*]			2346
{Or	Type <Tp>	[1..1]	CodeSet		2346
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2347
{Or	Amount <Amt>	[1..1]	Amount	C1	2347
Or}	Rate <Rate>	[1..1]	Rate		2348
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2348
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2348
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2348
{Or	Type <Tp>	[1..1]	CodeSet		2349
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2350
	Amount <Amt>	[0..7]	Amount	C2	2350
	Rate <Rate>	[0..1]	Rate		2350
	Country <Ctry>	[1..1]	CodeSet	C12	2350
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2351



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2351
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2351
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2352
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2352
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2352
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2352
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2353
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2353
{Or	Type <Tp>	[1..1]	CodeSet		2353
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2354
	Amount <Amt>	[0..7]	Amount	C2	2354
	Rate <Rate>	[0..1]	Rate		2355
	Country <Ctry>	[1..1]	CodeSet	C12	2355
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2355
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2355
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2356
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2356
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2356
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2	2356
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2357
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2357

### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

#### 66.1.34.10.1.15 ValuationStatistics <ValtnSttstcs>

*Presence:* [0..\*]

*Definition:* Information related to the price variations of an investment fund class.

*Impacted by:* C13 "CurrencyPredefinedPeriodsRule", C14 "CurrencyPriceChangeRule", C15 "CurrencyUserDefinedPeriodsRule"

**ValuationStatistics <ValtnSttstcs>** contains the following elements (see "ValuationStatistics3" on page 1925 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C2	1927
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1927
	Structured <Strd>	[1..1]	CodeSet		1928
	AdditionalInformation <AddtlInf>	[0..1]	Text		1929
	PriceChange <PricChng>	[1..1]		C5, C6	1929
	Amount <Amt>	[0..1]	Amount	C2	1930
	AmountSign <AmtSgn>	[0..1]	Indicator		1930
	Rate <Rate>	[0..1]	Rate		1930
	Yield <Yld>	[0..1]	Rate		1930
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1930
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1931
	Amount <Amt>	[1..1]	Amount	C2	1931
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1932
	Amount <Amt>	[1..1]	Amount	C2	1932
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1932
	Amount <Amt>	[0..1]	Amount	C2	1933
	AmountSign <AmtSgn>	[0..1]	Indicator		1933
	Rate <Rate>	[0..1]	Rate		1933
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1933
	Amount <Amt>	[0..1]	Amount	C2	1934
	AmountSign <AmtSgn>	[0..1]	Indicator		1934
	Rate <Rate>	[0..1]	Rate		1934
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1934
	Amount <Amt>	[0..1]	Amount	C2	1935
	AmountSign <AmtSgn>	[0..1]	Indicator		1935
	Rate <Rate>	[0..1]	Rate		1935
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1936
	Period <Prd>	[1..1]	±		1936
	HighestPriceValue <HghstPricVal>	[0..1]			1936
	Amount <Amt>	[1..1]	Amount	C2	1936

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			1937
	Amount <Amt>	[1..1]	Amount	C2	1937
	PriceChange <PricChng>	[0..1]		C5, C6	1937
	Amount <Amt>	[0..1]	Amount	C2	1938
	AmountSign <AmtSgn>	[0..1]	Indicator		1938
	Rate <Rate>	[0..1]	Rate		1938
	Yield <Yld>	[0..1]	Rate		1938

### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

### 66.1.34.10.1.16 PerformanceDetails <PrfrmncDtls>

*Presence:* [0..1]

*Definition:* Factors that give indications about the performance of a fund.

*Impacted by:* C1 "AccumulationPeriodRule"

**PerformanceDetails <PrfrmncDtls>** contains the following elements (see "PerformanceFactors1" on page 1922 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1922
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1922
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1922
	NormalPerformance <NrmlPrfrmnc>	[0..1]	Quantity		1923

**Constraints**

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

**66.1.34.11 ValuationDealingProcessingCharacteristics3**

*Definition:* Valuation dealing processing characteristics linked to the instrument, that is, not to the market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2376
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2377
	ValuationTime <ValtnTm>	[0..1]	Time		2377
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2377
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2377
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2377
	PriceMethod <PricMtd>	[0..1]	CodeSet		2377
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C1	2378
	AdditionalInformation <AddtlInf>	[0..*]	±		2378

**66.1.34.11.1 ValuationFrequency <ValtnFrqcy>**

*Presence:* [0..1]

*Definition:* Frequency of the valuation.

*Datatype:* "EventFrequency5Code" on page 2734

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

**66.1.34.11.2 ValuationFrequencyDescription <ValtnFrqcyDesc>**

*Presence:* [0..1]

*Definition:* Further details regarding the dealing frequency, for example, Tuesday (for weekly dealing) or last business day of the month.

*Datatype:* "Max350Text" on page 2837

**66.1.34.11.3 ValuationTime <ValtnTm>**

*Presence:* [0..1]

*Definition:* Valuation time of the fund.

*Datatype:* "ISOTime" on page 2839

**66.1.34.11.4 DecimalisationUnits <DcmlstnUnits>**

*Presence:* [0..1]

*Definition:* Number of decimal places to which quantities of units/shares are rounded.

*Datatype:* "Number" on page 2834

**66.1.34.11.5 DecimalisationPrice <DcmlstnPric>**

*Presence:* [0..1]

*Definition:* Number of decimal places to which the price is rounded.

*Datatype:* "Number" on page 2834

**66.1.34.11.6 DualFundIndicator <DualFndInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.34.11.7 PriceMethod <PricMtd>**

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "PriceMethod1Code" on page 2777

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**66.1.34.11.8 PriceCurrency <PricCcy>***Presence:* [0..\*]*Definition:* Currencies in which the prices for the investment fund class are published by the fund management company.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyCode" on page 2711**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.

**66.1.34.11.9 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the valuation dealing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1501 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1501
	InformationValue <InfVal>	[1..1]	Text		1502

**66.1.34.12 UnitPrice23***Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2379
	Value <Val>	[1..1]	±		2379
	PriceMethod <PricMtd>	[0..1]	CodeSet		2379
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C2, C10	2379
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2380
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C1	2380
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2380
{Or	Code <Cd>	[1..1]	CodeSet		2380
Or}	Proprietary <Prtry>	[1..1]	±		2381

**66.1.34.12.1 Type <Tp>***Presence:* [1..1]*Definition:* Type and information about a price.**Type <Tp>** contains one of the following elements (see ["TypeOfPrice46Choice"](#) on page 2337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2337
Or}	Proprietary <Prtry>	[1..1]	±		2338

**66.1.34.12.2 Value <Val>***Presence:* [1..1]*Definition:* Value of the price.**Value <Val>** contains the following elements (see ["PriceValue1"](#) on page 2381 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

**66.1.34.12.3 PriceMethod <PricMtd>***Presence:* [0..1]*Definition:* Type of pricing calculation method.*Datatype:* ["PriceMethod1Code"](#) on page 2777

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**66.1.34.12.4 AccruedInterestNAV <AcrdIntrstNAV>***Presence:* [0..1]*Definition:* Interest that has accumulated between the most recent payment of interest and the sale of the financial instrument.*Impacted by:* [C2 "ActiveOrHistoricCurrency"](#), [C10 "CurrencyAmount"](#)*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2705

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.1.34.12.5 NumberOfDaysAccrued <NbOfDaysAcrd>**

*Presence:* [0..1]

*Definition:* Number of days used for calculating the accrued interest amount.

*Datatype:* "Number" on page 2834

**66.1.34.12.6 TaxableIncomePerShare <TaxblIncmPerShr>**

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

**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.

**66.1.34.12.7 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>**

*Presence:* [0..1]

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

**TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>** contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2380
Or}	Proprietary <Prtry>	[1..1]	±		2381

**66.1.34.12.7.1 Code <Cd>**

*Presence:* [1..1]



*Definition:* Taxable income per share (TIS) calculated expressed as a code.

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2800

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

#### 66.1.34.12.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Taxable income per share calculated (TIS) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

## 66.1.35 Price Value

### 66.1.35.1 PriceValue1

*Definition:* Value given to a price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	2381

#### 66.1.35.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

## 66.1.36 Quantity

### 66.1.36.1 Quantity50

*Definition:* Quantity of assets.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2382
	PercentageRate <PctgRate>	[0..1]	Rate		2382
	FaceAmount <FaceAmt>	[0..1]	Amount		2382
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2382
	CashAmount <CshAmt>	[0..1]	Amount	C1	2382
	OtherAsset <OthrAsst>	[0..1]	Text		2383

#### 66.1.36.1.1 Unit <Unit>

*Presence:* [0..1]

*Definition:* Quantity of security transferred.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.36.1.2 PercentageRate <PctgRate>

*Presence:* [0..1]

*Definition:* Percentage rate of assets transferred.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.36.1.3 FaceAmount <FaceAmt>

*Presence:* [0..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2706

#### 66.1.36.1.4 AmortisedValue <AmtsdVal>

*Presence:* [0..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 2706

#### 66.1.36.1.5 CashAmount <CshAmt>

*Presence:* [0..1]

*Definition:* Cash amount transferred.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### 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.

#### 66.1.36.1.6 OtherAsset <OthrAsst>

*Presence:* [0..1]

*Definition:* Quantity of asset transferred.

*Datatype:* "Max35Text" on page 2837

#### 66.1.36.2 Quantity47

*Definition:* Quantity of assets.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2383
	PercentageRate <PctgRate>	[0..1]	Rate		2383
	FaceAmount <FaceAmt>	[0..1]	Amount		2383
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2384
	CashAmount <CshAmt>	[0..1]	Amount	C1	2384
	OtherAsset <OthrAsst>	[0..1]	Text		2384

#### 66.1.36.2.1 Unit <Unit>

*Presence:* [0..1]

*Definition:* Quantity of security to be transferred.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.36.2.2 PercentageRate <PctgRate>

*Presence:* [0..1]

*Definition:* Percentage rate of assets to be transferred.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.36.2.3 FaceAmount <FaceAmt>

*Presence:* [0..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2706

**66.1.36.2.4 AmortisedValue <AmtsdVal>***Presence:* [0..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 2706**66.1.36.2.5 CashAmount <CshAmt>***Presence:* [0..1]*Definition:* Cash amount to be transferred.*Impacted by:* C1 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704**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.

**66.1.36.2.6 OtherAsset <OthrAsst>***Presence:* [0..1]*Definition:* Quantity of asset to be transferred.*Datatype:* "Max35Text" on page 2837**66.1.37 Report Parameter****66.1.37.1 FrequencyCodeAndDSSCode1Choice***Definition:* Choice between formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2384
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2385

**66.1.37.1.1 FrequencyAsCode <FrqcyAsCd>***Presence:* [1..1]*Definition:* Frequency expressed as a code.*Datatype:* "EventFrequency1Code" on page 2733

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.

CodeName	Name	Definition
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 66.1.37.1.2 FrequencyAsDSS <FrqcyAsDSS>

*Presence:* [1..1]

*Definition:* Frequency expressed as a data source scheme and a code used within the data source scheme.

**FrequencyAsDSS <FrqcyAsDSS>** contains the following elements (see "[GenericIdentification7](#)" on page 1561 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1561
	Information <Inf>	[1..1]	Text		1561

#### 66.1.37.2 DataFormat2Choice

*Definition:* Choice between the specification of the data in a structured or unstructured form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2385
Or}	Unstructured <Ustrd>	[1..1]	Text		2386

#### 66.1.37.2.1 Structured <Strd>

*Presence:* [1..1]

*Definition:* Specification of data in a structured form.

**Structured <Strd>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

### 66.1.37.2.2 Unstructured <Ustrd>

*Presence:* [1..1]

*Definition:* Specification of data for which there isn't a structured form.

*Datatype:* "[Max140Text](#)" on page 2836

## 66.1.38 Safekeeping Place

### 66.1.38.1 SafekeepingPlaceFormat8Choice

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2386
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2386
	Identification <Id>	[0..1]	Text		2387
Or	Country <Ctry>	[1..1]	CodeSet	C12	2387
Or	TypeAndIdentification <TpAndId>	[1..1]			2387
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2387
	Identification <Id>	[1..1]	IdentifierSet	C5	2388
Or}	Proprietary <Prtry>	[1..1]	±		2388

#### 66.1.38.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2386
	Identification <Id>	[0..1]	Text		2387

##### 66.1.38.1.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace2Code" on page 2793

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

#### 66.1.38.1.1.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* "Max35Text" on page 2837

#### 66.1.38.1.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 66.1.38.1.3 TypeAndIdentification <TpAndId>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a type and identification.

**TypeAndIdentification <TpAndId>** contains the following **SafekeepingPlaceTypeAndAnyBICIdentifier1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2387
	Identification <Id>	[1..1]	IdentifierSet	C5	2388

#### 66.1.38.1.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2792

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

#### 66.1.38.1.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C5 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2823

#### Constraints

- **AnyBIC**

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

#### 66.1.38.1.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification78" on page 1578 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1578
	Identification <Id>	[0..1]	Text		1579

#### 66.1.38.2 SafekeepingPlaceFormatChoice

*Definition:* Choice of formats for the place of safekeeping.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2389
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrtrv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2390
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C12	2390

#### 66.1.38.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and BIC.

*Impacted by:* C13 "Party1Rule"

**Identification <Id>** contains the following **SafekeepingPlaceAsCodeAndPartyIdentification** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2389
	Narrative <Nrtrv>	[0..1]	Text		2390
	Party <Pty>	[0..1]	±		2390

#### Constraints

- Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

#### 66.1.38.2.1.1 PlaceSafekeeping <PlcSfkpg>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2792

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

**66.1.38.2.1.2 Narrative <Nrrtv>***Presence:* [0..1]*Definition:* Additional information about the place of safekeeping.*Datatype:* "Max35Text" on page 2837**66.1.38.2.1.3 Party <Pty>***Presence:* [0..1]*Definition:* Place of safekeeping.**Party <Pty>** contains the following elements (see "PartyIdentification3" on page 1962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C5	1962

**66.1.38.2.2 IdentificationAsDSS <IdAsDSS>***Presence:* [1..1]*Definition:* Place of safekeeping expressed with a propriety identification scheme.**IdentificationAsDSS <IdAsDSS>** contains the following elements (see "GenericIdentification5" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1572
	Information <Inf>	[1..1]	Text		1572
	Narrative <Nrrtv>	[0..1]	Text		1572

**66.1.38.2.3 IdentificationAsCountry <IdAsCtry>***Presence:* [1..1]*Definition:* Place of safekeeping expressed with a country code.*Impacted by:* C12 "Country"*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.38.3 SafekeepingPlaceFormat40Choice**

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2391
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2391
	Identification <Id>	[0..1]	Text		2392
Or	Country <Ctry>	[1..1]	CodeSet	C12	2392
Or	TypeAndIdentification <TpAndId>	[1..1]			2392
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2392
	Identification <Id>	[1..1]	IdentifierSet	C4	2393
Or}	Proprietary <Prtry>	[1..1]	±		2393

**66.1.38.3.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2391
	Identification <Id>	[0..1]	Text		2392

**66.1.38.3.1.1 SafekeepingPlaceType <SfkpgPlcTp>**

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace2Code" on page 2793

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

**66.1.38.3.1.2 Identification <Id>***Presence:* [0..1]*Definition:* Additional information about the place of safekeeping.*Datatype:* "Max35Text" on page 2837**66.1.38.3.2 Country <Ctry>***Presence:* [1..1]*Definition:* Place of safekeeping expressed with a country code.*Impacted by:* C12 "Country"*Datatype:* "CountryCode" on page 2726**Constraints**

- **Country**

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

**66.1.38.3.3 TypeAndIdentification <TpAndId>***Presence:* [1..1]*Definition:* Place of safekeeping expressed with a type and identification.

**TypeAndIdentification <TpAndId>** contains the following  
**SafekeepingPlaceTypeAndAnyBICIdentifier3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2392
	Identification <Id>	[1..1]	IdentifierSet	C4	2393

**66.1.38.3.3.1 SafekeepingPlaceType <SfkpgPlcTp>***Presence:* [1..1]*Definition:* Place of safekeeping as a code.*Datatype:* "SafekeepingPlace1Code" on page 2792

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

**66.1.38.3.3 Identification <Id>***Presence:* [1..1]*Definition:* Place of safekeeping.*Impacted by:* C4 "AnyBIC"*Datatype:* "AnyBICDec2014Identifier" on page 2823**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.

**66.1.38.3.4 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification78](#)" on page 1578 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1578
	Identification <Id>	[0..1]	Text		1579

**66.1.38.4 SafekeepingPlaceFormat28Choice***Definition:* Choice of formats for a place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2393
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394
Or	Country <Ctry>	[1..1]	CodeSet	C12	2394
Or	TypeAndIdentification <TpAndId>	[1..1]			2394
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395
Or}	Proprietary <Prtry>	[1..1]	±		2395

**66.1.38.4.1 Identification <Id>***Presence:* [1..1]*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394

#### 66.1.38.4.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace2Code" on page 2793

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

#### 66.1.38.4.1.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* "Max35Text" on page 2837

#### 66.1.38.4.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 66.1.38.4.3 TypeAndIdentification <TpAndId>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a type and identification.

**TypeAndIdentification <TpAndId>** contains the following **SafekeepingPlaceTypeAndIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395

#### 66.1.38.4.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2792

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

#### 66.1.38.4.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C4 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2823

##### 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.

#### 66.1.38.4.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification78](#)" on page 1578 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1578
	Identification <Id>	[0..1]	Text		1579

## 66.1.39 Securities Identification

### 66.1.39.1 AlternateSecurityIdentification1

*Definition:* Proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2396
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C12	2396
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		2396

#### 66.1.39.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.39.1.2 DomesticIdentificationSource <DmstIdSrc>

*Presence:* [1..1]

**Warning** Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* [C12 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2726

#### Constraints

- **Country**

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

#### 66.1.39.1.3 ProprietaryIdentificationSource <PrtryIdSrc>

*Presence:* [1..1]

**Warning** Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.



*Definition:* Entity that issues the proprietary identification.

*Datatype:* "Max35Text" on page 2837

### 66.1.39.2 SecurityIdentification3Choice

*Definition:* Choice between formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2397
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2397
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2398
Or	RIC <RIC>	[1..1]	IdentifierSet		2398
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2398
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2398
Or	CTA <CTA>	[1..1]	IdentifierSet		2398
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2398
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2398
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2399
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2399
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2399
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2399
Or	Common <Cmon>	[1..1]	IdentifierSet		2399
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2399

#### 66.1.39.2.1 ISIN <ISIN>

*Presence:* [1..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:* "ISINIdentifier" on page 2829

#### 66.1.39.2.2 SEDOL <SEDOL>

*Presence:* [1..1]

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Datatype:* "SEDOLIdentifier" on page 2831

**66.1.39.2.3 CUSIP <CUSIP>**

*Presence:* [1..1]

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

*Datatype:* "CUSIPIdentifier" on page 2826

**66.1.39.2.4 RIC <RIC>**

*Presence:* [1..1]

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, eg, IBM in UK is IBM.UK.

*Datatype:* "RICIdentifier" on page 2831

**66.1.39.2.5 TickerSymbol <TckrSymb>**

*Presence:* [1..1]

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, eg, RTR.L for Reuters quoted in London.

*Datatype:* "TickerIdentifier" on page 2833

**66.1.39.2.6 Bloomberg <Blmbrg>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Bloomberg organisation.

*Datatype:* "BloombergIdentifier" on page 2825

**66.1.39.2.7 CTA <CTA>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Datatype:* "ConsolidatedTapeAssociationIdentifier" on page 2826

**66.1.39.2.8 QUICK <QUICK>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Datatype:* "QUICKIdentifier" on page 2831

**66.1.39.2.9 Wertpapier <Wrtppr>**

*Presence:* [1..1]

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Datatype:* "WertpapierIdentifier" on page 2833

**66.1.39.2.10 Dutch <Dtch>***Presence:* [1..1]*Definition:* Identifier for Dutch securities.*Datatype:* "DutchIdentifier" on page 2826**66.1.39.2.11 Valoren <Vlrn>***Presence:* [1..1]*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.*Datatype:* "ValorenIdentifier" on page 2833**66.1.39.2.12 Sicovam <SCVM>***Presence:* [1..1]*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilieres in France. The Sicovam is composed of 5-digits.*Datatype:* "SicovamIdentifier" on page 2831**66.1.39.2.13 Belgian <Belgn>***Presence:* [1..1]*Definition:* Identifier for Belgian securities.*Datatype:* "BelgianIdentifier" on page 2824**66.1.39.2.14 Common <Cmon>***Presence:* [1..1]*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.*Datatype:* "EuroclearClearstreamIdentifier" on page 2827**66.1.39.2.15 OtherProprietaryIdentification <OthrPrtryld>***Presence:* [1..1]*Definition:* Proprietary identification of a security assigned by an institution or organisation.**OtherProprietaryIdentification <OthrPrtryld>** contains the following elements (see "AlternateSecurityIdentification1" on page 2396 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2396
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C12	2396
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		2396

## 66.1.40 Securities Quantity

### 66.1.40.1 UnitsOrAmount1Choice

*Definition:* Choice between an amount or number of units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2400
Or}	Unit <Unit>	[1..1]	Quantity		2400

#### 66.1.40.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Currency and amount of the periodical payments.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.40.1.2 Unit <Unit>

*Presence:* [1..1]

*Definition:* Number of units to be subscribed or withdrawn.

*Datatype:* "DecimalNumber" on page 2834

### 66.1.40.2 FinancialInstrumentQuantityChoice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2400
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2401
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2401

#### 66.1.40.2.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, eg, a number of shares.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.40.2.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, ie, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2706

#### 66.1.40.2.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, eg, a periodic reduction of a bond's principal amount.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2706

### 66.1.40.3 FinancialInstrumentQuantity1

*Definition:* Quantity of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2401

#### 66.1.40.3.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, eg, a number of shares.

*Datatype:* "DecimalNumber" on page 2834

### 66.1.40.4 UnitsOrAmountOrPercentage1Choice

*Definition:* Choice between an amount or number of units or percentage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2401
Or	Unit <Unit>	[1..1]	Quantity		2402
Or}	Percentage <Pctg>	[1..1]	Rate		2402

#### 66.1.40.4.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.40.4.2 Unit <Unit>**

*Presence:* [1..1]

*Definition:* Number of units.

*Datatype:* "DecimalNumber" on page 2834

**66.1.40.4.3 Percentage <Pctg>**

*Presence:* [1..1]

*Definition:* Percentage of cash amount.

*Datatype:* "PercentageRate" on page 2835

**66.1.41 Service Level Agreement****66.1.41.1 ModificationScope44**

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2402
	ServiceLevelAgreement <SvcLvIAgrmt>	[1..1]	±		2403

**66.1.41.1.1 ModificationScopeIndication <ModScplIndctn>**

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**66.1.41.1.2 ServiceLevelAgreement <SvcLvIAgrmt>***Presence:* [1..1]*Definition:* Identification of information which is part of a service level agreement.**ServiceLevelAgreement <SvcLvIAgrmt>** contains the following elements (see "[DocumentToSend4](#)" on page 2403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2403
	Recipient <Rcpt>	[1..1]	±		2403
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2404
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2404

**66.1.41.2 DocumentToSend4***Definition:* Type of document and the type of communication method to be used to notify a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2403
	Recipient <Rcpt>	[1..1]	±		2403
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2404
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2404

**66.1.41.2.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of document.*Datatype:* "Max140Text" on page 2836**66.1.41.2.2 Recipient <Rcpt>***Presence:* [1..1]*Definition:* Party that should receive the document.**Recipient <Rcpt>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

**66.1.41.2.3 MethodOfTransmission <MtdOfTrnsmssn>***Presence:* [1..1]*Definition:* Communication method to be used.

**MethodOfTransmission <MtdOfTrnsmssn>** contains one of the following **CommunicationMethod3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2404
Or}	Proprietary <Prtry>	[1..1]	±		2404

**66.1.41.2.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Method of transmission expressed as a code.*Datatype:* "CommunicationMethod1Code" on page 2721

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

**66.1.41.2.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Method of transmission expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.42 Settlement Chain****66.1.42.1 SettlementParties94***Definition:* Chain of parties involved in the settlement of a transaction.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

#### 66.1.42.1.1 Depository <Dpstry>

*Presence:* [0..1]

*Definition:* First party in the settlement chain. In a plain vanilla settlement, it is the Central Securities Depository where the counterparty requests to receive the financial instrument or from where the counterparty delivers the financial instruments. This party may be a transfer agent.

**Depository <Dpstry>** contains the following elements (see "[PartyIdentification141](#)" on page 2119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			2119
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	2119
Or	NameAndAddress <NmAndAdr>	[1..1]	±		2120
Or}	Country <Ctry>	[1..1]	CodeSet	C12	2120
	LEI <LEI>	[0..1]	IdentifierSet		2120
	AlternateIdentification <AltrnId>	[0..1]	±		2120
	ProcessingDate <PrdgDt>	[0..1]	±		2121
	ProcessingIdentification <PrctlId>	[0..1]	Text		2121
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	2121

**66.1.42.1.2 Party1 <Pty1>***Presence:* [0..1]*Definition:* Party that, in a settlement chain, interacts with the depository.**Party1 <Pty1>** contains the following elements (see ["PartyIdentificationAndAccount194"](#) on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

**66.1.42.1.3 Party2 <Pty2>***Presence:* [0..1]*Definition:* Party that, in a settlement chain, interacts with the party 1.**Party2 <Pty2>** contains the following elements (see ["PartyIdentificationAndAccount194"](#) on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

**66.1.42.1.4 Party3 <Pty3>***Presence:* [0..1]*Definition:* Party that, in a settlement chain, interacts with the party 2.

**Party3 <Pty3>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

#### 66.1.42.1.5 Party4 <Pty4>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 3.

**Party4 <Pty4>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

#### 66.1.42.1.6 Party5 <Pty5>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 4.

**Party5 <Pty5>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2081
	LEI <LEI>	[0..1]	IdentifierSet		2081
	AlternateIdentification <AltrnId>	[0..1]	±		2081
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		2081
	ProcessingDate <PrcgDt>	[0..1]	±		2082
	ProcessingIdentification <PrcgId>	[0..1]	Text		2082
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	2082

## 66.1.43 Settlement Details

### 66.1.43.1 FundSettlementParameters20

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2411
	SettlementPlace <SttlmPlc>	[1..1]	±		2411
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2411
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2412
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2412
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2412
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2412
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2413
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2414
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2414
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2415
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2416
	AccountIdentification <AcctId>	[0..1]	Text		2416
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2416
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2417
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2418
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2418
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2419
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2419
	PartyIdentification <PtyId>	[1..1]	±		2419
	AccountIdentification <AcctId>	[0..1]	Text		2419
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2419

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2420
	AccountIdentification <AcctId>	[0..1]	Text		2420

#### 66.1.43.1.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2822

#### 66.1.43.1.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat40Choice" on page 2391 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2391
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2391
	Identification <Id>	[0..1]	Text		2392
Or	Country <Ctry>	[1..1]	CodeSet	C12	2392
Or	TypeAndIdentification <TpAndId>	[1..1]			2392
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2392
	Identification <Id>	[1..1]	IdentifierSet	C4	2393
Or}	Proprietary <Prtry>	[1..1]	±		2393

**66.1.43.1.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>***Presence:* [0..1]*Definition:* Identifies the securities settlement system to be used.*Datatype:* "Max35Text" on page 2837**66.1.43.1.5 TradeTransactionCondition <TradTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

**66.1.43.1.6 SettlementTransactionCondition <SttlmTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

**66.1.43.1.7 ReceivingSideDetails <RcvgSdDtls>***Presence:* [0..1]*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"



**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2413
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2414
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2414
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2415
	AccountIdentification <AcctId>	[0..1]	Text		2415
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2415
	PartyIdentification <PtyId>	[1..1]	±		2416
	AccountIdentification <AcctId>	[0..1]	Text		2416

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition  
 /ReceiversIntermediary1Details is present  
 Following Must be True  
 /ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition  
 /ReceiversIntermediary2Details is present  
 Following Must be True  
 /ReceiversIntermediary1Details Must be present

#### 66.1.43.1.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2414

#### 66.1.43.1.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2414
	AccountIdentification <AcctId>	[0..1]	Text		2415

#### 66.1.43.1.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2415
	AccountIdentification <AcctId>	[0..1]	Text		2415

#### 66.1.43.1.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2416
	AccountIdentification <AcctId>	[0..1]	Text		2416

#### 66.1.43.1.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [1..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2417
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2418
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2418
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2419
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2419
	PartyIdentification <PtyId>	[1..1]	±		2419
	AccountIdentification <AcctId>	[0..1]	Text		2419
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2419
	PartyIdentification <PtyId>	[1..1]	±		2420
	AccountIdentification <AcctId>	[0..1]	Text		2420

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

On Condition

/DeliverersIntermediary1Details is present

Following Must be True

/DeliverersCustodianDetails Must be present

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

On Condition

/DeliverersIntermediary2Details is present

Following Must be True

/DeliverersIntermediary1Details Must be present

#### 66.1.43.1.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2418

#### 66.1.43.1.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2418
	AccountIdentification <AcctId>	[0..1]	Text		2419

#### 66.1.43.1.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2419
	AccountIdentification <AcctId>	[0..1]	Text		2419

#### 66.1.43.1.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.1.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

**DeliveringAgentDetails <DlvrgAgtDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2420
	AccountIdentification <AcctId>	[0..1]	Text		2420

#### 66.1.43.1.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.1.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

### 66.1.43.2 FundSettlementParameters12

*Definition:* Parameters applied to the settlement of a security transfer.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2422
	SettlementPlace <SttlmPlc>	[1..1]	±		2422
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2422
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2423
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2423
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2423
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2423
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2427
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 66.1.43.2.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2822

#### 66.1.43.2.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat8Choice" on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2386
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2386
	Identification <Id>	[0..1]	Text		2387
Or	Country <Ctry>	[1..1]	CodeSet	C12	2387
Or	TypeAndIdentification <TpAndId>	[1..1]			2387
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2387
	Identification <Id>	[1..1]	IdentifierSet	C5	2388
Or}	Proprietary <Prtry>	[1..1]	±		2388

**66.1.43.2.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>***Presence:* [0..1]*Definition:* Identifies the securities settlement system to be used.*Datatype:* "Max35Text" on page 2837**66.1.43.2.5 TradeTransactionCondition <TradTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

**66.1.43.2.6 SettlementTransactionCondition <SttlmTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

**66.1.43.2.7 ReceivingSideDetails <RcvgSdDtls>***Presence:* [0..1]*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"

**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2424
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2425
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2426
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition  
 /ReceiversIntermediary1Details is present  
 Following Must be True  
 /ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition  
 /ReceiversIntermediary2Details is present  
 Following Must be True  
 /ReceiversIntermediary1Details Must be present

#### 66.1.43.2.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2425

#### 66.1.43.2.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2425
	AccountIdentification <AcctId>	[0..1]	Text		2426

#### 66.1.43.2.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2426
	AccountIdentification <AcctId>	[0..1]	Text		2426

#### 66.1.43.2.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2427
	AccountIdentification <AcctId>	[0..1]	Text		2427

#### 66.1.43.2.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [1..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2428
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2429
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2430
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

```
On Condition
  /DeliverersIntermediary1Details is present
Following Must be True
  /DeliverersCustodianDetails Must be present
```

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

```
On Condition
  /DeliverersIntermediary2Details is present
Following Must be True
  /DeliverersIntermediary1Details Must be present
```

#### 66.1.43.2.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.



**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2429

#### 66.1.43.2.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2429
	AccountIdentification <AcctId>	[0..1]	Text		2430

#### 66.1.43.2.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2430
	AccountIdentification <AcctId>	[0..1]	Text		2430

#### 66.1.43.2.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.2.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

**DeliveringAgentDetails <DlvrgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2431
	AccountIdentification <AcctId>	[0..1]	Text		2431

#### 66.1.43.2.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.2.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3 FundSettlementParameters11

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2433
	SettlementPlace <SttlmPlc>	[1..1]	±		2433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2433
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2434
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2434
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2434
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2434
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2438
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 66.1.43.3.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2822

#### 66.1.43.3.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat8Choice" on page 2386 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2386
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2386
	Identification <Id>	[0..1]	Text		2387
Or	Country <Ctry>	[1..1]	CodeSet	C12	2387
Or	TypeAndIdentification <TpAndId>	[1..1]			2387
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2387
	Identification <Id>	[1..1]	IdentifierSet	C5	2388
Or}	Proprietary <Prtry>	[1..1]	±		2388

**66.1.43.3.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>***Presence:* [0..1]*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.*Datatype:* "Max35Text" on page 2837**66.1.43.3.5 TradeTransactionCondition <TradTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

**66.1.43.3.6 SettlementTransactionCondition <SttlmTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

**66.1.43.3.7 ReceivingSideDetails <RcvgSdDtIs>***Presence:* [1..1]*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"

**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2435
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2436
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2437
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition  
 /ReceiversIntermediary1Details is present  
 Following Must be True  
 /ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition  
 /ReceiversIntermediary2Details is present  
 Following Must be True  
 /ReceiversIntermediary1Details Must be present

#### 66.1.43.3.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2436

#### 66.1.43.3.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2436
	AccountIdentification <AcctId>	[0..1]	Text		2437

#### 66.1.43.3.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.



**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2437
	AccountIdentification <AcctId>	[0..1]	Text		2437

#### 66.1.43.3.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2438
	AccountIdentification <AcctId>	[0..1]	Text		2438

#### 66.1.43.3.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2439
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2440
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2441
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

```
On Condition
  /DeliverersIntermediary1Details is present
Following Must be True
  /DeliverersCustodianDetails Must be present
```

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

```
On Condition
  /DeliverersIntermediary2Details is present
Following Must be True
  /DeliverersIntermediary1Details Must be present
```

#### 66.1.43.3.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2440

#### 66.1.43.3.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2440
	AccountIdentification <AcctId>	[0..1]	Text		2441

#### 66.1.43.3.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2441
	AccountIdentification <AcctId>	[0..1]	Text		2441

#### 66.1.43.3.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.3.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

**DeliveringAgentDetails <DlvrgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2442
	AccountIdentification <AcctId>	[0..1]	Text		2442

#### 66.1.43.3.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.43.3.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

### 66.1.43.4 FundSettlementParameters19

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2444
	SettlementPlace <SttlmPlc>	[1..1]	±		2444
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2444
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2445
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2445
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2445
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2445
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2446
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2447
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2447
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2448
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2449
	AccountIdentification <AcctId>	[0..1]	Text		2449
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2449
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2450
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2451
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2451
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2452
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2452
	PartyIdentification <PtyId>	[1..1]	±		2452
	AccountIdentification <AcctId>	[0..1]	Text		2452
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2452

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2453
	AccountIdentification <AcctId>	[0..1]	Text		2453

#### 66.1.43.4.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2822

#### 66.1.43.4.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat40Choice" on page 2391 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2391
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2391
	Identification <Id>	[0..1]	Text		2392
Or	Country <Ctry>	[1..1]	CodeSet	C12	2392
Or	TypeAndIdentification <TpAndId>	[1..1]			2392
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2392
	Identification <Id>	[1..1]	IdentifierSet	C4	2393
Or}	Proprietary <Prtry>	[1..1]	±		2393



**66.1.43.4.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>***Presence:* [0..1]*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.*Datatype:* "Max35Text" on page 2837**66.1.43.4.5 TradeTransactionCondition <TradTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

**66.1.43.4.6 SettlementTransactionCondition <SttlmTxCond>***Presence:* [0..\*]*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

**66.1.43.4.7 ReceivingSideDetails <RcvgSdDtIs>***Presence:* [1..1]*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"

**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2446
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2447
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2447
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2448
	AccountIdentification <AcctId>	[0..1]	Text		2448
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2448
	PartyIdentification <PtyId>	[1..1]	±		2449
	AccountIdentification <AcctId>	[0..1]	Text		2449

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition  
 /ReceiversIntermediary1Details is present  
 Following Must be True  
 /ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition  
 /ReceiversIntermediary2Details is present  
 Following Must be True  
 /ReceiversIntermediary1Details Must be present

#### 66.1.43.4.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2447

#### 66.1.43.4.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2447
	AccountIdentification <AcctId>	[0..1]	Text		2448

#### 66.1.43.4.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2448
	AccountIdentification <AcctId>	[0..1]	Text		2448

#### 66.1.43.4.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2449
	AccountIdentification <AcctId>	[0..1]	Text		2449

#### 66.1.43.4.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2450
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2451
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2451
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2452
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2452
	PartyIdentification <PtyId>	[1..1]	±		2452
	AccountIdentification <AcctId>	[0..1]	Text		2452
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2452
	PartyIdentification <PtyId>	[1..1]	±		2453
	AccountIdentification <AcctId>	[0..1]	Text		2453

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

On Condition

/DeliverersIntermediary1Details is present

Following Must be True

/DeliverersCustodianDetails Must be present

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

On Condition

/DeliverersIntermediary2Details is present

Following Must be True

/DeliverersIntermediary1Details Must be present

#### 66.1.43.4.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2451

#### 66.1.43.4.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2451
	AccountIdentification <AcctId>	[0..1]	Text		2452

#### 66.1.43.4.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2452
	AccountIdentification <AcctId>	[0..1]	Text		2452

#### 66.1.43.4.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

#### 66.1.43.4.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.



**DeliveringAgentDetails <DlvrgAgtDtIs>** contains the following **PartyIdentificationAndAccount222** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2453
	AccountIdentification <AcctId>	[0..1]	Text		2453

#### 66.1.43.4.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.43.4.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2837

## 66.1.44 Settlement Instruction

### 66.1.44.1 CashSettlement4

*Definition:* Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2454
	CashAccountDetails <CshAcctDtls>	[0..*]			2454
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2455
	Identification <Id>	[1..1]	±		2456
	AccountOwner <AcctOwnr>	[0..1]	±		2456
	AccountServicer <AcctSvcr>	[0..1]	±		2456
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2457
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2457
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2457
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2458
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2458
{Or	Code <Cd>	[1..1]	CodeSet		2458
Or}	Proprietary <Prtry>	[1..1]	±		2459
	CashAccountPurpose <CshAcctPurp>	[0..1]			2459
{Or	Code <Cd>	[1..1]	CodeSet		2459
Or}	Proprietary <Prtry>	[1..1]	±		2460
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2460
{Or	Code <Cd>	[1..1]	CodeSet		2460
Or}	Proprietary <Prtry>	[1..1]	±		2460
	DividendPercentage <DvddPctg>	[0..1]	Rate		2461
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2461

#### 66.1.44.1.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification2Code" on page 2729

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 66.1.44.1.2 CashAccountDetails <CshAcctDtls>

*Presence:* [0..\*]

*Definition:* Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment

of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

**CashAccountDetails** <CshAcctDtls> contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2455
	Identification <Id>	[1..1]	±		2456
	AccountOwner <AcctOwnr>	[0..1]	±		2456
	AccountServicer <AcctSvcr>	[0..1]	±		2456
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2457
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2457
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2457
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2458
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2458
{Or	Code <Cd>	[1..1]	CodeSet		2458
Or}	Proprietary <Prtry>	[1..1]	±		2459
	CashAccountPurpose <CshAcctPurp>	[0..1]			2459
{Or	Code <Cd>	[1..1]	CodeSet		2459
Or}	Proprietary <Prtry>	[1..1]	±		2460
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2460
{Or	Code <Cd>	[1..1]	CodeSet		2460
Or}	Proprietary <Prtry>	[1..1]	±		2460
	DividendPercentage <DvddPctg>	[0..1]	Rate		2461

#### 66.1.44.1.2.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

#### 66.1.44.1.2.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.44.1.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.44.1.2.4 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[FinancialInstitutionIdentification11Choice](#)" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

**66.1.44.1.2.5 AccountServicerBranch <AcctSvcrBrnch>***Presence:* [0..1]*Definition:* Information identifying 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.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

**66.1.44.1.2.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>***Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1563 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

**66.1.44.1.2.7 InvestmentAccountType <InvstmtAcctTp>***Presence:* [0..1]*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.44.1.2.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 66.1.44.1.2.9 SettlementInstructionReason <SttlmInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlmInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2458
Or}	Proprietary <Prtry>	[1..1]	±		2459

##### 66.1.44.1.2.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2796

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.

CodeName	Name	Definition
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

#### 66.1.44.1.2.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.44.1.2.10 CashAccountPurpose <CshAcctPurp>

*Presence:* [0..1]

*Definition:* Purpose of the cash account.

**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2459
Or}	Proprietary <Prtry>	[1..1]	±		2460

#### 66.1.44.1.2.10.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a code.

*Datatype:* "[CashAccountType5Code](#)" on page 2717

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.

CodeName	Name	Definition
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

#### 66.1.44.1.2.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.44.1.2.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2460
Or}	Proprietary <Prtry>	[1..1]	±		2460

##### 66.1.44.1.2.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "Rank1Code" on page 2780

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 66.1.44.1.2.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.44.1.2.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "[PercentageBoundedRate](#)" on page 2835

#### 66.1.44.1.3 OtherCashSettlementDetails <OthrCshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Method of payment other than a cash account.

**OtherCashSettlementDetails <OthrCshSttlmDtls>** contains the following elements (see "PaymentInstrument17" on page 2237 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2238
	DividendPercentage <DvddPctg>	[0..1]	Rate		2239
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2239
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2239
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2239
Or	Cheque <Chq>	[1..1]	Indicator		2240
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2240
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2240
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2241
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2241
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2242
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2242
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2242
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2243
Or	Cheque <Chq>	[1..1]	Indicator		2243
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2244
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2244
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2244
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2244

### 66.1.44.2 CashSettlement3

*Definition:* Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2463
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2464
	Identification <Id>	[1..1]	±		2464
	AccountOwner <AcctOwnr>	[0..1]	±		2465
	AccountServicer <AcctSvcr>	[0..1]	±		2465
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2465
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2466
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2466
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2466
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2467
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountPurpose <CshAcctPurp>	[0..1]			2468
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2469
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469
	DividendPercentage <DvddPctg>	[0..1]	Rate		2469
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2470

#### 66.1.44.2.1 CashAccountDetails <CshAcctDtls>

*Presence:* [0..\*]

*Definition:* Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

**CashAccountDetails <CshAcctDtls>** contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2464
	Identification <Id>	[1..1]	±		2464
	AccountOwner <AcctOwnr>	[0..1]	±		2465
	AccountServicer <AcctSvcr>	[0..1]	±		2465
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2465
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2466
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2466
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2466
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2467
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountPurpose <CshAcctPurp>	[0..1]			2468
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2469
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469
	DividendPercentage <DvddPctg>	[0..1]	Rate		2469

#### 66.1.44.2.1.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

#### 66.1.44.2.1.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.44.2.1.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.44.2.1.4 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[FinancialInstitutionIdentification11Choice](#)" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

#### 66.1.44.2.1.5 AccountServicerBranch <AcctSvcrBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.44.2.1.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1563 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

#### 66.1.44.2.1.7 InvestmentAccountType <InvstmtAcctTp>

*Presence:* [0..1]

*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.44.2.1.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 66.1.44.2.1.9 SettlementInstructionReason <SttlmInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlmInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2467
Or}	Proprietary <Prtry>	[1..1]	±		2468

##### 66.1.44.2.1.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2796

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.

CodeName	Name	Definition
CORP	CorporateAction	Settlement of corporate actions.

**66.1.44.2.1.9.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Settlement instruction reason expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.44.2.1.10 CashAccountPurpose <CshAcctPurp>***Presence:* [0..1]*Definition:* Purpose of the cash account.**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2468
Or}	Proprietary <Prtry>	[1..1]	±		2468

**66.1.44.2.1.10.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of cash account expressed as a code.*Datatype:* "[CashAccountType5Code](#)" on page 2717

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

**66.1.44.2.1.10.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of cash account expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.44.2.1.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2469
Or}	Proprietary <Prtry>	[1..1]	±		2469

##### 66.1.44.2.1.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "[Rank1Code](#)" on page 2780

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 66.1.44.2.1.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

##### 66.1.44.2.1.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2835

#### 66.1.44.2.2 OtherCashSettlementDetails <OthrCshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Method of payment other than a cash account.

**OtherCashSettlementDetails <OthrCshSttlmDtls>** contains the following elements (see "PaymentInstrument17" on page 2237 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2238
	DividendPercentage <DvddPctg>	[0..1]	Rate		2239
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			2239
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2239
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2239
Or	Cheque <Chq>	[1..1]	Indicator		2240
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2240
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			2240
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2241
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			2241
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2241
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2242
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			2242
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		2242
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2243
Or	Cheque <Chq>	[1..1]	Indicator		2243
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		2244
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			2244
{Or	ChequeDetails <ChqDtls>	[1..1]	±		2244
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		2244

## 66.1.45 Statement Basis

### 66.1.45.1 StatementBasisCodeAndDSSCodeChoice

*Definition:* Choice between formats for the statement basis.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2471
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2471

#### 66.1.45.1.1 StatementBasisAsCode <StmtBsisAsCd>

*Presence:* [1..1]

*Definition:* Statement basis expressed as a code.

*Datatype:* "StatementBasis1Code" on page 2798

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.
TRAD	Traded	The statement is based on trade date positions.

#### 66.1.45.1.2 StatementBasisAsDSS <StmtBsisAsDSS>

*Presence:* [1..1]

*Definition:* Statement basis expressed as a data source scheme and a code used within the data source scheme.

**StatementBasisAsDSS <StmtBsisAsDSS>** contains the following elements (see "GenericIdentification7" on page 1561 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1561
	Information <Inf>	[1..1]	Text		1561

### 66.1.46 Statement Update Type

#### 66.1.46.1 StatementUpdateTypeCodeAndDSSCodeChoice

*Definition:* Choice between formats for the update type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2471
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2472

#### 66.1.46.1.1 StatementUpdateTypeAsCode <StmtUpdTpAsCd>

*Presence:* [1..1]

*Definition:* Update type expressed as a code.

*Datatype:* "StatementUpdateTypeCode" on page 2799

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 66.1.46.1.2 StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>

*Presence:* [1..1]

*Definition:* Update type expressed as a data source scheme and a code used within the data source scheme.

**StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>** contains the following elements (see "GenericIdentification7" on page 1561 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1561
	Information <Inf>	[1..1]	Text		1561

## 66.1.47 Status

#### 66.1.47.1 BlockedStatusReason2Choice

*Definition:* Choice of formats for a blocked status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2472
Or}	Reason <Rsn>	[1..*]			2473
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

##### 66.1.47.1.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the closed account status.

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.47.1.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Transaction type for which the account is blocked and the underlying reason.

**Reason <Rsn>** contains the following **BlockedStatusReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransactionType <TxTp>	[1..1]			2473
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475
	Blocked <Blckd>	[1..1]	Indicator		2475
	Reason <Rsn>	[0..*]			2475
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476
	AdditionalInformation <AddtlInf>	[1..1]	Text		2476

#### 66.1.47.1.2.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of transaction for which the account has a blocked status.

**TransactionType <TxTp>** contains one of the following **TransactionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2473
Or}	Proprietary <Prtry>	[1..1]	±		2475

#### 66.1.47.1.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "InvestmentFundTransactionType1Code" on page 2759

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.

CodeName	Name	Definition
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.
INSP	InSpecie	Transaction is an InSpecie.
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

**66.1.47.1.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Transaction type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.47.1.2.2 Blocked <Blckd>***Presence:* [1..1]*Definition:* Indicates whether the account is blocked.*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2834):

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

**66.1.47.1.2.3 Reason <Rsn>***Presence:* [0..\*]*Definition:* Reason for the blocked status.**Reason <Rsn>** contains one of the following **BlockedReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2475
Or}	Proprietary <Prtry>	[1..1]	±		2476

**66.1.47.1.2.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Reason expressed as a code.*Datatype:* "[BlockedReason2Code](#)" on page 2714

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.

CodeName	Name	Definition
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

#### 66.1.47.1.2.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.47.1.2.4 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Additional information about the blocked account status.

*Datatype:* "[Max350Text](#)" on page 2837

### 66.1.47.2 ClosurePendingStatusReason1Choice

*Definition:* Choice of formats for a closure pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2476
Or}	Reason <Rsn>	[1..*]			2477
	Code <Cd>	[1..1]			2477
{Or	Code <Cd>	[1..1]	CodeSet		2477
Or}	Proprietary <Prtry>	[1..1]	±		2477
	AdditionalInformation <AddtlInf>	[0..1]	Text		2478

#### 66.1.47.2.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the closure pending status.

*Datatype:* "[NoReasonCode](#)" on page 2765

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



**66.1.47.2.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the closure pending status.**Reason <Rsn>** contains the following **ClosurePendingStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2477
{Or	Code <Cd>	[1..1]	CodeSet		2477
Or}	Proprietary <Prtry>	[1..1]	±		2477
	AdditionalInformation <AddtlInf>	[0..1]	Text		2478

**66.1.47.2.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Reason for the closure pending status.**Code <Cd>** contains one of the following **ClosurePendingStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2477
Or}	Proprietary <Prtry>	[1..1]	±		2477

**66.1.47.2.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Reason for the closure pending status expressed as a code.*Datatype:* "ClosurePendingStatusReason1Code" on page 2720

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

**66.1.47.2.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Reason for the closure pending status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.47.2.2.2 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional information about the reason for the closure pending status.

*Datatype:* "Max350Text" on page 2837

**66.1.47.3 Status24Choice**

*Definition:* Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdrDtlsRpt>	[1..1]	±		2480
Or	IndividualOrderDetailsReport <IndvOrdrDtlsRpt>	[1..*]			2481
	MasterReference <MstrRef>	[0..1]	Text		2481
	OrderReference <OrdrRef>	[1..1]	Text		2481
	ClientReference <CIntRef>	[0..1]	Text		2482
	DealReference <DealRef>	[0..1]	Text		2482
	CancellationReference <CxlRef>	[0..1]	Text		2482
	OrderStatus <OrdrSts>	[1..1]			2482
{Or	Status <Sts>	[1..1]	CodeSet		2482
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2483
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2484
Or	Rejected <Rjctd>	[1..10]	±	C18	2484
Or	Suspended <Sspd>	[1..1]	±		2485
Or	InRepair <InRpr>	[1..1]	±		2485
Or}	PartiallySettled <PrtyStltd>	[1..1]	±		2485
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2486
	StatusInitiator <StsIntr>	[0..1]	±		2487
	OrderData <OrdrData>	[0..1]	±	C15	2487
	NewDetails <NewDtls>	[0..1]	±	C10	2488
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		2488
Or}	SwitchOrderDetailsReport <SwchOrdrDtlsRpt>	[1..*]			2488
	MasterReference <MstrRef>	[0..1]	Text		2489
	OrderReference <OrdrRef>	[1..1]	Text		2489
	ClientReference <CIntRef>	[0..1]	Text		2490
	DealReference <DealRef>	[0..1]	Text		2490
	CancellationReference <CxlRef>	[0..1]	Text		2490
	OrderStatus <OrdrSts>	[1..1]			2490
{Or	Status <Sts>	[1..1]	CodeSet		2490
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2491
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2492
Or	Rejected <Rjctd>	[1..10]	±	C18	2492

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Suspended <Sspd>	[1..1]	±		2492
Or	InRepair <InRpr>	[1..1]	±		2493
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2493
	LegInformation <LegInf>	[0..*]			2494
	LegIdentification <LegId>	[1..1]			2494
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2494
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2494
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2494
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2494
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2495
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2496
	StatusInitiator <StsInitr>	[0..1]	±		2497
	OrderData <OrdrData>	[0..1]	±	C20	2497
	NewDetails <NewDtls>	[0..1]	±		2497

#### 66.1.47.3.1 OrderDetailsReport <OrdrDtlsRpt>

*Presence:* [1..1]

*Definition:* Status report details of all the individual orders conveyed in a bulk or multiple order message. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.

**OrderDetailsReport <OrdrDtlsRpt>** contains the following elements (see "[OrderStatusAndReason10](#)" on page 2523 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2524
	OrderStatus <OrdrSts>	[1..1]			2524
{Or	Status <Sts>	[1..1]	CodeSet		2524
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2525
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2526
Or	Rejected <Rjctd>	[1..10]	±	C18	2526
Or	Suspended <Sspd>	[1..1]	±		2527
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2527
	StatusInitiator <StsInitr>	[0..1]	±		2527

**66.1.47.3.2 IndividualOrderDetailsReport <IndvOrdrDtIsRpt>***Presence:* [1..\*]*Definition:* Status report details of an individual order.

**IndividualOrderDetailsReport <IndvOrdrDtIsRpt>** contains the following **IndividualOrderStatusAndReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2481
	OrderReference <OrdrRef>	[1..1]	Text		2481
	ClientReference <ClntRef>	[0..1]	Text		2482
	DealReference <DealRef>	[0..1]	Text		2482
	CancellationReference <CxIRef>	[0..1]	Text		2482
	OrderStatus <OrdrSts>	[1..1]			2482
{Or	Status <Sts>	[1..1]	CodeSet		2482
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2483
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		2484
Or	Rejected <Rjctd>	[1..10]	±	C18	2484
Or	Suspended <Sspd>	[1..1]	±		2485
Or	InRepair <InRpr>	[1..1]	±		2485
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2485
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2486
	StatusInitiator <StsInitr>	[0..1]	±		2487
	OrderData <OrdrData>	[0..1]	±	C15	2487
	NewDetails <NewDtIs>	[0..1]	±	C10	2488
	GatingOrHoldBackDetails <GtgOrHldBckDtIs>	[0..1]	±		2488

**66.1.47.3.2.1 MasterReference <MstrRef>***Presence:* [0..1]*Definition:* Reference assigned to a set of orders or trades in order to link them together.*Datatype:* "Max35Text" on page 2837**66.1.47.3.2.2 OrderReference <OrdrRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837

**66.1.47.3.2.3 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**66.1.47.3.2.4 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2837**66.1.47.3.2.5 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**66.1.47.3.2.6 OrderStatus <OrdrSts>***Presence:* [1..1]*Definition:* Status of the individual order.**OrderStatus <OrdrSts>** contains one of the following **OrderStatus5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2482
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2483
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		2484
Or	Rejected <Rjctd>	[1..10]	±	C18	2484
Or	Suspended <Sspd>	[1..1]	±		2485
Or	InRepair <InRpr>	[1..1]	±		2485
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2485

**66.1.47.3.2.6.1 Status <Sts>***Presence:* [1..1]*Definition:* Status of the individual order is accepted or already executed or sent to next party or received. There is no reason attached.*Datatype:* "OrderStatus4Code" on page 2767

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).

CodeName	Name	Definition
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 66.1.47.3.2.6.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the individual order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2538 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2539
{Or	Code <Cd>	[1..1]	CodeSet		2539
Or	Proprietary <Prtry>	[1..1]	±		2539
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2539
	AdditionalInformation <AddtlInf>	[0..1]	Text		2540

**Constraints**

- **AdditionalInformationRule**

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

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.3.2.6.3 ConditionallyAccepted <CondlyAccptd>**

*Presence:* [1..1]

*Definition:* Status of the individual order is conditionally accepted.

**ConditionallyAccepted <CondlyAccptd>** contains one of the following elements (see "[ConditionallyAcceptedStatus3Choice](#)" on page 2552 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2552
Or}	ReasonDetails <RsnDtls>	[1..5]			2552
	Reason <Rsn>	[1..1]			2552
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553
	AdditionalInformation <AddtlInf>	[0..1]	Text		2553

**66.1.47.3.2.6.4 Rejected <Rjctd>**

*Presence:* [1..10]

*Definition:* Status of the individual order is rejected. This status is used for an order that has not been accepted or entered in an order book.

*Impacted by:* [C18 "RejectedElementRule"](#)

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2515
{Or	Code <Cd>	[1..1]	CodeSet		2515
Or}	Proprietary <Prtry>	[1..1]	±		2517
	AdditionalInformation <AddtlInf>	[0..1]	Text		2518



**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.3.2.6.5 Suspended <Sspd>**

*Presence:* [1..1]

*Definition:* Status of the individual order is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2512 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2512
Or}	ReasonDetails <RsnDtls>	[1..5]			2512
	Reason <Rsn>	[1..1]			2513
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513
	AdditionalInformation <AddtlInf>	[0..1]	Text		2513

**66.1.47.3.2.6.6 InRepair <InRpr>**

*Presence:* [1..1]

*Definition:* Status of the individual order is in repair.

**InRepair <InRpr>** contains one of the following elements (see "[InRepairStatusReason4Choice](#)" on page 2536 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2537
Or}	ReasonDetails <RsnDtls>	[1..5]			2537
	Reason <Rsn>	[1..1]			2537
{Or	Code <Cd>	[1..1]	CodeSet		2537
Or}	Proprietary <Prtry>	[1..1]	±		2538
	AdditionalInformation <AddtlInf>	[0..1]	Text		2538

**66.1.47.3.2.6.7 PartiallySettled <PrtlySttld>**

*Presence:* [1..1]

*Definition:* Status of the individual order is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "[PartiallySettledStatus10](#)" on page 2518 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2518
{Or	Code <Cd>	[1..1]	CodeSet		2518
Or}	Proprietary <Prtry>	[1..1]	±		2519
	AdditionalInformation <AddtlInf>	[0..1]	Text		2519

#### 66.1.47.3.2.7 RepairedFee <RprdFee>

*Presence:* [0..10]

*Definition:* Elements from the original individual order that have been repaired so that the order can be accepted.

*Impacted by:* [C6 "CommercialAgreementRule"](#), [C12 "FeeElementRule"](#)

**RepairedFee <RprdFee>** contains the following elements (see "[Fee3](#)" on page 1413 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1414
{Or	Code <Cd>	[1..1]	CodeSet		1414
Or}	Proprietary <Prtry>	[1..1]	±		1415
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C1, C13	1415
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1416
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C1, C13	1416
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1416
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C1, C13	1416
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1417
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1417
	NewCommercialAgreementReferenceIndicator <NewComrcIAgrmtRefInd>	[0..1]	Indicator		1417

#### Constraints

- **CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True  
 /NewCommercialAgreementReferenceIndicator Must be present

- **FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

#### 66.1.47.3.2.8 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <StsInitr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.47.3.2.9 OrderData <OrdrData>

*Presence:* [0..1]

*Definition:* Order data.

*Impacted by:* C15 "[OrderDataElementRule](#)"

**OrderData <OrdrData>** contains the following elements (see "[FundOrderData5](#)" on page 1756 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	1756
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	1757
	UnitsNumber <UnitsNb>	[0..1]	Quantity		1758
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	1758
	GrossAmount <GrssAmt>	[0..1]	Amount	C2, C10	1758
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1759
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	1759
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C1	1759
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C1	1760

**Constraints**

- **OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

**66.1.47.3.2.10 NewDetails <NewDtls>**

*Presence:* [0..1]

*Definition:* Expected execution information.

*Impacted by:* C10 "DateElementRule"

**NewDetails <NewDtls>** contains the following elements (see ["ExpectedExecutionDetails4"](#) on page 1797 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1797
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1798

**Constraints**

- **DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

**66.1.47.3.2.11 GatingOrHoldBackDetails <GtgOrHldBckDtls>**

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see ["HoldBackInformation3"](#) on page 1801 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1801
	Amount <Amt>	[0..1]	Amount	C1, C13	1802
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1802
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1802
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1803
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1803

**66.1.47.3.3 SwitchOrderDetailsReport <SwchOrdRtDtlsRpt>**

*Presence:* [1..\*]

*Definition:* Status report details of a switch order.

**SwitchOrderDetailsReport <SwchOrdRpt>** contains the following  
**SwitchOrderStatusAndReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2489
	OrderReference <OrdRef>	[1..1]	Text		2489
	ClientReference <ClntRef>	[0..1]	Text		2490
	DealReference <DealRef>	[0..1]	Text		2490
	CancellationReference <CxlRef>	[0..1]	Text		2490
	OrderStatus <OrdRSts>	[1..1]			2490
{Or	Status <Sts>	[1..1]	CodeSet		2490
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2491
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2492
Or	Rejected <Rjctd>	[1..10]	±	C18	2492
Or	Suspended <Sspd>	[1..1]	±		2492
Or	InRepair <InRpr>	[1..1]	±		2493
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2493
	LegInformation <LegInf>	[0..*]			2494
	LegIdentification <LegId>	[1..1]			2494
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2494
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2494
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2494
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2494
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2495
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2496
	StatusInitiator <StsIntr>	[0..1]	±		2497
	OrderData <OrdRData>	[0..1]	±	C20	2497
	NewDetails <NewDtls>	[0..1]	±		2497

#### 66.1.47.3.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.3.3.2 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.3.3.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.3.3.4 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.3.3.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.3.3.6 OrderStatus <OrdrSts>

*Presence:* [1..1]

*Definition:* Status of the switch order.

**OrderStatus <OrdrSts>** contains one of the following **OrderStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2490
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2491
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2492
Or	Rejected <Rjctd>	[1..10]	±	C18	2492
Or	Suspended <Sspd>	[1..1]	±		2492
Or	InRepair <InRpr>	[1..1]	±		2493
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2493

#### 66.1.47.3.3.6.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the switch order is accepted or already executed or sent to next party or received. There is no reason attached.

*Datatype:* "OrderStatus4Code" on page 2767

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 66.1.47.3.3.6.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the switch order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2538 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2539
{Or	Code <Cd>	[1..1]	CodeSet		2539
Or	Proprietary <Prtry>	[1..1]	±		2539
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2539
	AdditionalInformation <AddtlInf>	[0..1]	Text		2540

**Constraints**

- **AdditionalInformationRule**

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

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.3.3.6.3 ConditionallyAccepted <CondlyAccptd>**

*Presence:* [1..1]

*Definition:* Status of the switch order is conditionally accepted.

**ConditionallyAccepted <CondlyAccptd>** contains one of the following elements (see "[ConditionallyAcceptedStatus3Choice](#)" on page 2552 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2552
Or}	ReasonDetails <RsnDtls>	[1..5]			2552
	Reason <Rsn>	[1..1]			2552
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553
	AdditionalInformation <AddtlInf>	[0..1]	Text		2553

**66.1.47.3.3.6.4 Rejected <Rjctd>**

*Presence:* [1..10]

*Definition:* Status of the switch order is rejected.

*Impacted by:* C18 "RejectedElementRule"

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2515
{Or	Code <Cd>	[1..1]	CodeSet		2515
Or}	Proprietary <Prtry>	[1..1]	±		2517
	AdditionalInformation <AddtlInf>	[0..1]	Text		2518

**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.3.3.6.5 Suspended <Sspd>**

*Presence:* [1..1]



*Definition:* Status of the switch order is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2512 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2512
Or}	ReasonDetails <RsnDtls>	[1..5]			2512
	Reason <Rsn>	[1..1]			2513
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513
	AdditionalInformation <AddtlInf>	[0..1]	Text		2513

#### 66.1.47.3.3.6.6 InRepair <InRpr>

*Presence:* [1..1]

*Definition:* Status of the switch order is in repair.

**InRepair <InRpr>** contains one of the following elements (see "[InRepairStatusReason4Choice](#)" on page 2536 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2537
Or}	ReasonDetails <RsnDtls>	[1..5]			2537
	Reason <Rsn>	[1..1]			2537
{Or	Code <Cd>	[1..1]	CodeSet		2537
Or}	Proprietary <Prtry>	[1..1]	±		2538
	AdditionalInformation <AddtlInf>	[0..1]	Text		2538

#### 66.1.47.3.3.6.7 PartiallySettled <PrtlySttld>

*Presence:* [1..1]

*Definition:* Status of the switch order is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "[PartiallySettledStatus10](#)" on page 2518 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2518
{Or	Code <Cd>	[1..1]	CodeSet		2518
Or}	Proprietary <Prtry>	[1..1]	±		2519
	AdditionalInformation <AddtlInf>	[0..1]	Text		2519

**66.1.47.3.3.7 LegInformation <LegInf>***Presence:* [0..\*]*Definition:* Information about a switch leg that is rejected or repaired.**LegInformation <LegInf>** contains the following **SwitchLegReferences2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[1..1]			2494
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2494
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2494
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2494
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2494
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2495
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2496

**66.1.47.3.3.7.1 LegIdentification <LegId>***Presence:* [1..1]*Definition:* Identification of a switch leg.**LegIdentification <LegId>** contains one of the following **LegIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2494
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2494

**66.1.47.3.3.7.1.1 RedemptionLegIdentification <RedLegId>***Presence:* [1..1]*Definition:* Unique technical identifier for the instance of the leg within a switch.*Datatype:* "Max35Text" on page 2837**66.1.47.3.3.7.1.2 SubscriptionLegIdentification <SbcptLegId>***Presence:* [1..1]*Definition:* Unique technical identifier for the instance of the leg within a switch.*Datatype:* "Max35Text" on page 2837**66.1.47.3.3.7.2 LegRejectionReason <LegRjctnRsn>***Presence:* [0..1]*Definition:* Additional information about the reason for the rejection of the leg.*Datatype:* "Max350Text" on page 2837**66.1.47.3.3.7.3 RepairedFee <RprdFee>***Presence:* [0..10]

*Definition:* Elements from the original individual order that have been repaired so that the order can be accepted.

*Impacted by:* C6 "CommercialAgreementRule", C12 "FeeElementRule"

**RepairedFee <RprdFee>** contains the following elements (see "Fee3" on page 1413 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1414
{Or	Code <Cd>	[1..1]	CodeSet		1414
Or}	Proprietary <Prtry>	[1..1]	±		1415
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C1, C13	1415
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1416
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C1, C13	1416
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1416
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C1, C13	1416
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1417
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1417
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1417

#### Constraints

- **CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

- **FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

#### 66.1.47.3.3.7.4 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account identification of the switch leg that is rejected or repaired.

*Impacted by:* C6 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdOrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 66.1.47.3.3.7.5 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument identification of the switch leg that is rejected or repaired.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.47.3.3.8 StatusInitiator <Stslnitr>**

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <Stslnitr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.47.3.3.9 OrderData <OrdrData>**

*Presence:* [0..1]

*Definition:* Order data.

*Impacted by:* [C20 "SwitchOrderDataElementRule"](#)

**OrderData <OrdrData>** contains the following elements (see "[FundOrderData6](#)" on page 1799 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	1799
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1800
	AdditionalAmount <AddtlAmt>	[0..1]	±		1800
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C1	1800
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C1	1801

**Constraints**

- **SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

**66.1.47.3.3.10 NewDetails <NewDtIs>**

*Presence:* [0..1]

*Definition:* Expected execution information.

**NewDetails <NewDtIs>** contains the following elements (see "[ExpectedExecutionDetails2](#)" on page 1767 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1767
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1767

#### 66.1.47.4 OtherAccountStatus1

*Definition:* Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2498
	Reason <Rsn>	[0..1]	±		2498

##### 66.1.47.4.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the account.

**Status <Sts>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

##### 66.1.47.4.2 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the status of the account.

**Reason <Rsn>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.5 DrawdownStatus1Choice

*Definition:* Choice of formats for a drawdown status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2499
Or}	Proprietary <Prtry>	[1..1]	±		2499

#### 66.1.47.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status expressed as a code.

*Datatype:* "DrawdownStatus1Code" on page 2731

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

#### 66.1.47.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.6 ProformaStatusReason1Choice

*Definition:* Choice of formats for a proforma status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2499
Or}	Reason <Rsn>	[1..*]			2500
	Code <Cd>	[1..1]			2500
{Or	Code <Cd>	[1..1]	CodeSet		2500
Or}	Proprietary <Prtry>	[1..1]	±		2500
	AdditionalInformation <AddtlInf>	[0..1]	Text		2501

#### 66.1.47.6.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the proforma account status.

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.47.6.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the proforma account status.

**Reason <Rsn>** contains the following **ProformaStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2500
{Or	Code <Cd>	[1..1]	CodeSet		2500
Or}	Proprietary <Prtry>	[1..1]	±		2500
	AdditionalInformation <AddtlInf>	[0..1]	Text		2501

##### 66.1.47.6.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the proforma account status.

**Code <Cd>** contains one of the following **ProformaStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2500
Or}	Proprietary <Prtry>	[1..1]	±		2500

##### 66.1.47.6.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a code.

*Datatype:* "ProformaStatusReason1Code" on page 2779

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

##### 66.1.47.6.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.6.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the proforma account status.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.7 Status25Choice

*Definition:* Choice of formats for the specification of the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2501
Or}	Rejected <Rjctd>	[1..10]	±		2501

#### 66.1.47.7.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status code.

*Datatype:* "[AccountManagementStatus1Code](#)" on page 2707

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.

#### 66.1.47.7.2 Rejected <Rjctd>

*Presence:* [1..10]

*Definition:* Status of the account management instruction is rejected.

**Rejected <Rjctd>** contains the following elements (see "[RejectionReason31](#)" on page 2540 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2540
{Or	Code <Cd>	[1..1]	CodeSet		2540
Or}	Proprietary <Prtry>	[1..1]	±		2540
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2541

### 66.1.47.8 PendingStatusReason14

*Definition:* Reason for a pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2502
	AdditionalInformation <AddtlInf>	[0..1]	Text		2502

#### 66.1.47.8.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account status.

**Code <Cd>** contains one of the following elements (see "[PendingStatusReason2Choice](#)" on page 2509 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2509
Or}	Proprietary <Prtry>	[1..1]	±		2510

#### 66.1.47.8.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the pending account status.

*Datatype:* "[Max350Text](#)" on page 2837

### 66.1.47.9 AccountStatus2

*Definition:* Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2504
	Disabled <Dsbl>	[0..1]	±		2504
	Pending <Pdg>	[0..1]	±		2505
	PendingOpening <PdgOpng>	[0..1]	±		2505
	Proforma <Profrm>	[0..1]	±		2505
	Closed <Clsd>	[0..1]	±		2506
	ClosurePending <ClsrPdg>	[0..1]	±		2506
	Other <Othr>	[0..*]	±		2507

### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Enabled Must be absent
```

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```

- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

```
On Condition
  /Closed is absent
Following Must be True
  /ClosurePending Must be absent
```

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

```
On Condition
  /Enabled is present
Following Must be True
  /Disabled Must be absent
```

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

```
On Condition
  /Disabled is present
Following Must be True
  /Enabled Must be absent
```

- **StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

#### 66.1.47.9.1 Enabled <Nbld>

*Presence:* [0..1]

*Definition:* Account can be used for its intended purpose.

**Enabled <Nbld>** contains one of the following elements (see ["EnabledStatusReason1Choice"](#) on page 2541 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2541
Or}	Reason <Rsn>	[1..*]			2541
	Code <Cd>	[1..1]			2542
{Or	Code <Cd>	[1..1]	CodeSet		2542
Or}	Proprietary <Prtry>	[1..1]	±		2542
	AdditionalInformation <AddtlInf>	[0..1]	Text		2542

#### 66.1.47.9.2 Disabled <Dsbl>

*Presence:* [0..1]

*Definition:* Account cannot temporarily be used for its intended purpose.

**Disabled <Dsblid>** contains one of the following elements (see "[DisabledStatusReason1Choice](#)" on page 2510 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2510
Or}	Reason <Rsn>	[1..*]			2510
	Code <Cd>	[1..1]			2511
{Or	Code <Cd>	[1..1]	CodeSet		2511
Or}	Proprietary <Prtry>	[1..1]	±		2511
	AdditionalInformation <AddtlInf>	[0..1]	Text		2512

#### 66.1.47.9.3 Pending <Pdg>

*Presence:* [0..1]

*Definition:* Account change is pending approval.

**Pending <Pdg>** contains one of the following elements (see "[PendingStatusReason1Choice](#)" on page 2507 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2507
Or}	Reason <Rsn>	[1..*]	±		2507

#### 66.1.47.9.4 PendingOpening <PdgOpng>

*Presence:* [0..1]

*Definition:* Account opening is pending.

**PendingOpening <PdgOpng>** contains one of the following elements (see "[PendingOpeningStatusReason1Choice](#)" on page 2533 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2533
Or}	Reason <Rsn>	[1..*]			2533
	Code <Cd>	[1..1]			2534
{Or	Code <Cd>	[1..1]	CodeSet		2534
Or}	Proprietary <Prtry>	[1..1]	±		2534
	AdditionalInformation <AddtlInf>	[0..1]	Text		2535

#### 66.1.47.9.5 Proforma <Profrm>

*Presence:* [0..1]

*Definition:* Account is temporary and can be partially used for its intended purpose. The account will be fully available for use when the account servicer has received all relevant documents.

**Proforma <Profrm>** contains one of the following elements (see "ProformaStatusReason1Choice" on page 2499 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2499
Or}	Reason <Rsn>	[1..*]			2500
	Code <Cd>	[1..1]			2500
{Or	Code <Cd>	[1..1]	CodeSet		2500
Or}	Proprietary <Prtry>	[1..1]	±		2500
	AdditionalInformation <AddtlInf>	[0..1]	Text		2501

#### 66.1.47.9.6 Closed <Clsd>

*Presence:* [0..1]

*Definition:* Account is closed.

**Closed <Clsd>** contains one of the following elements (see "ClosedStatusReason1Choice" on page 2522 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2522
Or}	Reason <Rsn>	[1..*]			2522
	Code <Cd>	[1..1]			2522
{Or	Code <Cd>	[1..1]	CodeSet		2523
Or}	Proprietary <Prtry>	[1..1]	±		2523
	AdditionalInformation <AddtlInf>	[0..1]	Text		2523

#### 66.1.47.9.7 ClosurePending <ClsrPdg>

*Presence:* [0..1]

*Definition:* Account closure is pending.

**ClosurePending <ClsrPdg>** contains one of the following elements (see "ClosurePendingStatusReason1Choice" on page 2476 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2476
Or}	Reason <Rsn>	[1..*]			2477
	Code <Cd>	[1..1]			2477
{Or	Code <Cd>	[1..1]	CodeSet		2477
Or}	Proprietary <Prtry>	[1..1]	±		2477
	AdditionalInformation <AddtlInf>	[0..1]	Text		2478

#### 66.1.47.9.8 Other <Othr>

*Presence:* [0..\*]

*Definition:* Status is a bilaterally agreed status.

**Other <Othr>** contains the following elements (see "OtherAccountStatus1" on page 2498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2498
	Reason <Rsn>	[0..1]	±		2498

#### 66.1.47.10 PendingStatusReason1Choice

*Definition:* Choice of formats for a pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2507
Or}	Reason <Rsn>	[1..*]	±		2507

##### 66.1.47.10.1 NoSpecifiedReason <NoSpcdfRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the pending account status.

*Datatype:* "NoReasonCode" on page 2765

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

##### 66.1.47.10.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending account status.

**Reason <Rsn>** contains the following elements (see "PendingStatusReason14" on page 2502 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2502
	AdditionalInformation <AddtlInf>	[0..1]	Text		2502

### 66.1.47.11 RejectedStatus10

*Definition:* Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2508
{Or	Code <Cd>	[1..1]	CodeSet		2508
Or}	Proprietary <Prtry>	[1..1]	±		2509
	AdditionalInformation <AddtlInf>	[0..1]	Text		2509

#### Constraints

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 66.1.47.11.1 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2508
Or}	Proprietary <Prtry>	[1..1]	±		2509

#### 66.1.47.11.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason8Code" on page 2791

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.



CodeName	Name	Definition
LEGL	LegallyImpossible	Legally impossible to cancel.

#### 66.1.47.11.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.11.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.12 PendingStatusReason2Choice

*Definition:* Choice of formats for pending reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2509
Or}	Proprietary <Prtry>	[1..1]	±		2510

#### 66.1.47.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account status expressed as a code.

*Datatype:* "[PendingStatusReason1Code](#)" on page 2773

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

**66.1.47.12.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Reason for the pending account status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.47.13 DisabledStatusReason1Choice***Definition:* Choice of formats for a disabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2510
Or}	Reason <Rsn>	[1..*]			2510
	Code <Cd>	[1..1]			2511
{Or	Code <Cd>	[1..1]	CodeSet		2511
Or}	Proprietary <Prtry>	[1..1]	±		2511
	AdditionalInformation <AddtlInf>	[0..1]	Text		2512

**66.1.47.13.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* There is no reason available or to report for the disabled account status.*Datatype:* "[NoReasonCode](#)" on page 2765

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

**66.1.47.13.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the disabled account status.

**Reason <Rsn>** contains the following **DisabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2511
{Or	Code <Cd>	[1..1]	CodeSet		2511
Or}	Proprietary <Prtry>	[1..1]	±		2511
	AdditionalInformation <AddtlInf>	[0..1]	Text		2512

#### 66.1.47.13.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status.

**Code <Cd>** contains one of the following **DisabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2511
Or}	Proprietary <Prtry>	[1..1]	±		2511

#### 66.1.47.13.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status expressed as a code.

*Datatype:* "DisabledReason2Code" on page 2730

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

#### 66.1.47.13.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.13.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the disabled account status.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.14 SuspendedStatusReason4Choice

*Definition:* Reason for a suspended status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2512
Or}	ReasonDetails <RsnDtls>	[1..5]			2512
	Reason <Rsn>	[1..1]			2513
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513
	AdditionalInformation <AddtlInf>	[0..1]	Text		2513

#### 66.1.47.14.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the suspended status.

*Datatype:* "[NoReasonCode](#)" on page 2765

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

#### 66.1.47.14.2 ReasonDetails <RsnDtls>

*Presence:* [1..5]

*Definition:* Reason for the suspended status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **SuspendedStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2513
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513
	AdditionalInformation <AddtlInf>	[0..1]	Text		2513

#### 66.1.47.14.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the conditionally accepted status expressed as a code.

**Reason <Rsn>** contains one of the following **SuspendedStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513

##### 66.1.47.14.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Suspended reason expressed as a code.

*Datatype:* "SuspendedStatusReason3Code" on page 2799

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

##### 66.1.47.14.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Suspended reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

##### 66.1.47.14.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the suspended reason.

*Datatype:* "Max350Text" on page 2837

### 66.1.47.15 AccountingStatus1Choice

*Definition:* Choice of formats for the accounting status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2514
Or}	Proprietary <Prtry>	[1..1]	±		2514

#### 66.1.47.15.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Accounting status expressed as a code.

*Datatype:* "AccountingStatus1Code" on page 2707

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

#### 66.1.47.15.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Accounting status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

### 66.1.47.16 RejectedStatus9

*Definition:* Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2515
{Or	Code <Cd>	[1..1]	CodeSet		2515
Or}	Proprietary <Prtry>	[1..1]	±		2517
	AdditionalInformation <AddtlInf>	[0..1]	Text		2518

**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.16.1 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2515
Or}	Proprietary <Prtry>	[1..1]	±		2517

**66.1.47.16.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason11Code" on page 2783

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.

CodeName	Name	Definition
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.



CodeName	Name	Definition
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

#### 66.1.47.16.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.16.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.17 PartiallySettledStatus10

*Definition:* Reason for a partially settled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2518
{Or	Code <Cd>	[1..1]	CodeSet		2518
Or}	Proprietary <Prtry>	[1..1]	±		2519
	AdditionalInformation <AddtlInf>	[0..1]	Text		2519

##### 66.1.47.17.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the partially settled status.

**Reason <Rsn>** contains one of the following **PartiallySettled21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2518
Or}	Proprietary <Prtry>	[1..1]	±		2519

##### 66.1.47.17.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Partially settled reason expressed as a code.

*Datatype:* "[SettledStatusReason2Code](#)" on page 2795

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.

CodeName	Name	Definition
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

#### 66.1.47.17.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Partially settled reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.17.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the partially settled reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.18 AcceptedStatusReason1Choice

*Definition:* Choice of formats for an accepted status reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2519
Or}	Proprietary <Prtry>	[1..1]	±		2520

#### 66.1.47.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the status expressed as a code.

*Datatype:* "[AcceptedStatusReason1Code](#)" on page 2706

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.

CodeName	Name	Definition
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

#### 66.1.47.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.19 TransferCancellationStatus3

*Definition:* Transfer cancellation status is accepted or sent to next party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2520
	Reason <Rsn>	[0..1]	Text		2520

##### 66.1.47.19.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is accepted or sent to next party.

*Datatype:* "[CancellationStatus5Code](#)" on page 2716

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

##### 66.1.47.19.2 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the status.

*Datatype:* "Max350Text" on page 2837

## 66.1.47.20 CancellationStatus22Choice

*Definition:* Status is cancelled.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2521
Or}	Rejected <Rjctd>	[1..1]	±	C8	2521

### 66.1.47.20.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the order cancellation request is cancelled.

*Datatype:* "OrderCancellationStatus2Code" on page 2766

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

### 66.1.47.20.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Status of the order cancellation request is rejected.

*Impacted by:* C8 "ReasonElementRule"

**Rejected <Rjctd>** contains the following elements (see "RejectedStatus10" on page 2508 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2508
{Or	Code <Cd>	[1..1]	CodeSet		2508
Or}	Proprietary <Prtry>	[1..1]	±		2509
	AdditionalInformation <AddtlInf>	[0..1]	Text		2509

**Constraints**

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.21 ClosedStatusReason1Choice**

*Definition:* Choice of formats for a closed status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2522
Or}	Reason <Rsn>	[1..*]			2522
	Code <Cd>	[1..1]			2522
{Or	Code <Cd>	[1..1]	CodeSet		2523
Or}	Proprietary <Prtry>	[1..1]	±		2523
	AdditionalInformation <AddtlInf>	[0..1]	Text		2523

**66.1.47.21.1 NoSpecifiedReason <NoSpcfdRsn>**

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the closed account status.

*Datatype:* "NoReasonCode" on page 2765

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

**66.1.47.21.2 Reason <Rsn>**

*Presence:* [1..\*]

*Definition:* Reason for the closed account status.

**Reason <Rsn>** contains the following **ClosedStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2522
{Or	Code <Cd>	[1..1]	CodeSet		2523
Or}	Proprietary <Prtry>	[1..1]	±		2523
	AdditionalInformation <AddtlInf>	[0..1]	Text		2523

**66.1.47.21.2.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Reason for the closed account status.

**Code <Cd>** contains one of the following **ClosedStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2523
Or}	Proprietary <Prtry>	[1..1]	±		2523

#### 66.1.47.21.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the closed account status expressed as a code.

*Datatype:* "ClosedStatusReason1Code" on page 2720

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

#### 66.1.47.21.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the closed account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.21.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the closed account status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.47.22 OrderStatusAndReason10

*Definition:* Status report of a bulk or multiple or switch order that was previously received.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2524
	OrderStatus <OrdrSts>	[1..1]			2524
{Or	Status <Sts>	[1..1]	CodeSet		2524
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2525
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2526
Or	Rejected <Rjctd>	[1..10]	±	C18	2526
Or	Suspended <Sspd>	[1..1]	±		2527
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2527
	StatusInitiator <StsInitr>	[0..1]	±		2527

#### 66.1.47.22.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2837

#### 66.1.47.22.2 OrderStatus <OrdrSts>

*Presence:* [1..1]

*Definition:* Status of a 'bulk' of orders. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.

**OrderStatus <OrdrSts>** contains one of the following **OrderStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2524
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2525
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2526
Or	Rejected <Rjctd>	[1..10]	±	C18	2526
Or	Suspended <Sspd>	[1..1]	±		2527
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2527

##### 66.1.47.22.2.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message. There is no reason attached.

*Datatype:* "OrderStatus4Code" on page 2767



CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 66.1.47.22.2.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is cancelled. This status is used for orders that have been accepted or that have been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2538 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2539
{Or	Code <Cd>	[1..1]	CodeSet		2539
Or	Proprietary <Prtry>	[1..1]	±		2539
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2539
	AdditionalInformation <AddtlInf>	[0..1]	Text		2540

**Constraints**

- **AdditionalInformationRule**

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

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.22.2.3 ConditionallyAccepted <CondlyAccptd>**

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is conditionally accepted.

**ConditionallyAccepted <CondlyAccptd>** contains one of the following elements (see "[ConditionallyAcceptedStatus3Choice](#)" on page 2552 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2552
Or}	ReasonDetails <RsnDtls>	[1..5]			2552
	Reason <Rsn>	[1..1]			2552
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553
	AdditionalInformation <AddtlInf>	[0..1]	Text		2553

**66.1.47.22.2.4 Rejected <Rjctd>**

*Presence:* [1..10]

*Definition:* Status of all the orders in the order message is rejected. This status is used for orders that have not been accepted or entered in an order book.

*Impacted by:* [C18 "RejectedElementRule"](#)

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2514 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2515
{Or	Code <Cd>	[1..1]	CodeSet		2515
Or}	Proprietary <Prtry>	[1..1]	±		2517
	AdditionalInformation <AddtlInf>	[0..1]	Text		2518

**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.22.2.5 Suspended <Sspd>**

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2512 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2512
Or}	ReasonDetails <RsnDtls>	[1..5]			2512
	Reason <Rsn>	[1..1]			2513
{Or	Code <Cd>	[1..1]	CodeSet		2513
Or}	Proprietary <Prtry>	[1..1]	±		2513
	AdditionalInformation <AddtlInf>	[0..1]	Text		2513

**66.1.47.22.2.6 PartiallySettled <PrtlySttld>**

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "[PartiallySettledStatus10](#)" on page 2518 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2518
{Or	Code <Cd>	[1..1]	CodeSet		2518
Or}	Proprietary <Prtry>	[1..1]	±		2519
	AdditionalInformation <AddtlInf>	[0..1]	Text		2519

**66.1.47.22.3 StatusInitiator <Stslnitr>**

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <Stslnitr>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.47.23 CancellationReason31Choice**

*Definition:* Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2528
Or}	Proprietary <Prtry>	[1..1]	±		2529

**66.1.47.23.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Confirmation cancellation reason expressed as a code.

*Datatype:* "ConfirmationCancellationReason1Code" on page 2723

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.

CodeName	Name	Definition
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

#### 66.1.47.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Confirmation cancellation reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.47.24 ConfirmationRejectedStatus2

*Definition:* Rejection of a confirmation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2530
{Or	Code <Cd>	[1..1]	CodeSet		2530
Or}	Proprietary <Prtry>	[1..1]	±		2532
	AdditionalInformation <AddtlInf>	[0..1]	Text		2533

**Constraints**

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.24.1 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **ConfirmationRejectedReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2530
Or}	Proprietary <Prtry>	[1..1]	±		2532

**66.1.47.24.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Reason for the rejected status expressed as a code.

*Datatype:* "RejectedConfirmationStatusReason1Code" on page 2781

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.

CodeName	Name	Definition
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.

CodeName	Name	Definition
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

#### 66.1.47.24.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.24.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.25 PendingOpeningStatusReason1Choice

*Definition:* Choice of formats for a pending account opening status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2533
Or}	Reason <Rsn>	[1..*]			2533
	Code <Cd>	[1..1]			2534
{Or	Code <Cd>	[1..1]	CodeSet		2534
Or}	Proprietary <Prtry>	[1..1]	±		2534
	AdditionalInformation <AddtlInf>	[0..1]	Text		2535

#### 66.1.47.25.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the pending account opening status.

*Datatype:* "[NoReasonCode](#)" on page 2765

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

#### 66.1.47.25.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending account opening status.

**Reason <Rsn>** contains the following **PendingOpeningStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2534
{Or	Code <Cd>	[1..1]	CodeSet		2534
Or}	Proprietary <Prtry>	[1..1]	±		2534
	AdditionalInformation <AddtlInf>	[0..1]	Text		2535

#### 66.1.47.25.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account opening status.

**Code <Cd>** contains one of the following **PendingOpeningStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2534
Or}	Proprietary <Prtry>	[1..1]	±		2534

#### 66.1.47.25.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account opening status expressed as a code.

*Datatype:* "PendingOpeningStatusReason1Code" on page 2771

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

#### 66.1.47.25.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the pending account opening status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.25.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the pending account opening status.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.26 TransferUnmatchedStatus4Choice

*Definition:* Reason for the unmatched status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2535
Or	Reason <Rsn>	[1..1]	CodeSet		2535
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2536
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2536

##### 66.1.47.26.1 NoSpecifiedReason <NoSpcdfRsn>

*Presence:* [1..1]

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

*Datatype:* "[NoReasonCode](#)" on page 2765

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

##### 66.1.47.26.2 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the unmatched status.

*Datatype:* "[TransferUnmatchedReason3Code](#)" on page 2816

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.

CodeName	Name	Definition
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

#### 66.1.47.26.3 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the unmatched status.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.47.26.4 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the unmatched status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.27 InRepairStatusReason4Choice

*Definition:* Choice of formats for the reason for an in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2537
Or}	ReasonDetails <RsnDtls>	[1..5]			2537
	Reason <Rsn>	[1..1]			2537
{Or	Code <Cd>	[1..1]	CodeSet		2537
Or}	Proprietary <Prtry>	[1..1]	±		2538
	AdditionalInformation <AddtlInf>	[0..1]	Text		2538

#### 66.1.47.27.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the in repair status.

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.47.27.2 ReasonDetails <RsnDtls>

*Presence:* [1..5]

*Definition:* Reason for the in repair status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **InRepairStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2537
{Or	Code <Cd>	[1..1]	CodeSet		2537
Or}	Proprietary <Prtry>	[1..1]	±		2538
	AdditionalInformation <AddtlInf>	[0..1]	Text		2538

##### 66.1.47.27.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the in repair status expressed as a code.

**Reason <Rsn>** contains one of the following **InRepairStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2537
Or}	Proprietary <Prtry>	[1..1]	±		2538

##### 66.1.47.27.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* In repair reason expressed as a code.

*Datatype:* "InRepairStatusReason1Code" on page 2745

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

#### 66.1.47.27.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* In repair reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.27.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the in repair reason.

*Datatype:* "Max350Text" on page 2837

#### 66.1.47.28 CancelledStatusReason16

*Definition:* Reason for a cancelled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2539
{Or	Code <Cd>	[1..1]	CodeSet		2539
Or	Proprietary <Prtry>	[1..1]	±		2539
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2539
	AdditionalInformation <AddtlInf>	[0..1]	Text		2540

#### Constraints

- AdditionalInformationRule**

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

- CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**66.1.47.28.1 Reason <Rsn>***Presence:* [0..1]*Definition:* Reason for the cancelled status.**Reason <Rsn>** contains one of the following **CancelledReason12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2539
Or	Proprietary <Prtry>	[1..1]	±		2539
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2539

**66.1.47.28.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Cancelled reason expressed as a code.*Datatype:* "CancelledStatusReason2Code" on page 2716

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

**66.1.47.28.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Cancelled reason expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.47.28.1.3 NoSpecifiedReason <NoSpdfdRsn>***Presence:* [1..1]*Definition:* No reason available or to report for the cancelled status.*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.47.28.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cancelled status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.47.29 RejectionReason31

*Definition:* Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2540
{Or	Code <Cd>	[1..1]	CodeSet		2540
Or}	Proprietary <Prtry>	[1..1]	±		2540
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2541

#### 66.1.47.29.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason16Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2540
Or}	Proprietary <Prtry>	[1..1]	±		2540

##### 66.1.47.29.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason6Code" on page 2791

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

##### 66.1.47.29.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.29.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected status reason.

*Datatype:* "[Max350Text](#)" on page 2837

#### 66.1.47.30 EnabledStatusReason1Choice

*Definition:* Choice of formats for an enabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2541
Or}	Reason <Rsn>	[1..*]			2541
	Code <Cd>	[1..1]			2542
{Or	Code <Cd>	[1..1]	CodeSet		2542
Or}	Proprietary <Prtry>	[1..1]	±		2542
	AdditionalInformation <AddtlInf>	[0..1]	Text		2542

#### 66.1.47.30.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the enabled account status.

*Datatype:* "[NoReasonCode](#)" on page 2765

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

#### 66.1.47.30.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the enabled account status.

**Reason <Rsn>** contains the following **EnabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2542
{Or	Code <Cd>	[1..1]	CodeSet		2542
Or}	Proprietary <Prtry>	[1..1]	±		2542
	AdditionalInformation <AddtlInf>	[0..1]	Text		2542

#### 66.1.47.30.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status.

**Code <Cd>** contains one of the following **EnabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2542
Or}	Proprietary <Prtry>	[1..1]	±		2542

##### 66.1.47.30.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a code.

*Datatype:* "EnabledStatusReason1Code" on page 2731

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.

##### 66.1.47.30.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

##### 66.1.47.30.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the enabled account status.

*Datatype:* "Max350Text" on page 2837

**66.1.47.31 PlanStatus2Choice**

*Definition:* Choice of formats for the status of a plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2543
Or}	Proprietary <Prtry>	[1..1]	±		2543

**66.1.47.31.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Status of the plan expressed as a code.

*Datatype:* "PlanStatus1Code" on page 2775

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.
SUSP	Suspended	Plan is suspended.

**66.1.47.31.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Status of the plan expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.47.32 TransferInstructionStatus5**

*Definition:* Instruction status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2543
	Reason <Rsn>	[0..1]	Text		2544

**66.1.47.32.1 Status <Sts>**

*Presence:* [1..1]

*Definition:* Status code.

*Datatype:* "TransferStatus6Code" on page 2814

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

#### 66.1.47.32.2 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.47.33 AccountStatusUpdateInstruction1

*Definition:* Instruction for a change to an account status and reason for the change.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			2545
{Or	Code <Cd>	[1..1]	CodeSet		2545
Or}	Proprietary <Prtry>	[1..1]	±		2545
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			2545
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2546
Or}	Reason <Rsn>	[1..*]		C27	2546
	Code <Cd>	[0..1]			2546
{Or	Code <Cd>	[1..1]	CodeSet		2547
Or}	Proprietary <Prtry>	[1..1]	±		2547
	AdditionalInformation <AddtlInf>	[0..1]	Text		2547

**66.1.47.33.1 UpdateInstruction <UpdInstr>***Presence:* [1..1]*Definition:* Type of status change instructed for the account status.

**UpdateInstruction <UpdInstr>** contains one of the following **AccountStatusUpdateInstruction1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2545
Or}	Proprietary <Prtry>	[1..1]	±		2545

**66.1.47.33.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of change to the account status expressed as a code.*Datatype:* "AccountStatusUpdateInstruction1Code" on page 2710

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

**66.1.47.33.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of change to the account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.47.33.2 UpdateInstructionReason <UpdInstrRsn>***Presence:* [0..1]*Definition:* Reason for the instruction to change the account status.

**UpdateInstructionReason <UpdInstrRsn>** contains one of the following **AccountStatusUpdateInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2546
Or}	Reason <Rsn>	[1..*]		C27	2546
	Code <Cd>	[0..1]			2546
{Or	Code <Cd>	[1..1]	CodeSet		2547
Or}	Proprietary <Prtry>	[1..1]	±		2547
	AdditionalInformation <AddtlInf>	[0..1]	Text		2547

#### 66.1.47.33.2.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the instruction to change the account status.

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.47.33.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the instruction to change the account status.

*Impacted by:* C27 "ReasonElementRule"

**Reason <Rsn>** contains the following **AccountStatusUpdateInstructionReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[0..1]			2546
{Or	Code <Cd>	[1..1]	CodeSet		2547
Or}	Proprietary <Prtry>	[1..1]	±		2547
	AdditionalInformation <AddtlInf>	[0..1]	Text		2547

#### Constraints

- **ReasonElementRule**

Either Code or AdditionalInformation must be present. Both may be present.

#### 66.1.47.33.2.2.1 Code <Cd>

*Presence:* [0..1]

*Definition:* Reason for the instruction to change the account status.

**Code <Cd>** contains one of the following **AccountStatusUpdateInstructionReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2547
Or}	Proprietary <Prtry>	[1..1]	±		2547

#### 66.1.47.33.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the instruction to change the account status expressed as a code.

*Datatype:* "AccountStatusUpdateRequestReason1Code" on page 2711

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

#### 66.1.47.33.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the instruction to change the account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.47.33.2.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the instruction to change the account status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.47.34 Status26Choice

*Definition:* Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <CxIStsRpt>	[1..1]			2548
	MasterReference <MstrRef>	[0..1]	Text		2548
	CancellationStatus <CxISts>	[1..1]	±		2548
	StatusInitiator <StsInitr>	[0..1]	±		2549
Or}	IndividualCancellationStatusReport <IndvCxIStsRpt>	[1..*]			2549
	MasterReference <MstrRef>	[0..1]	Text		2549
	OrderReference <OrdRef>	[1..1]	Text		2550
	ClientReference <CIntRef>	[0..1]	Text		2550
	CancellationReference <CxIRef>	[0..1]	Text		2550
	CancellationStatus <CxISts>	[1..1]	±		2550
	StatusInitiator <StsInitr>	[0..1]	±		2550
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2550
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2551

#### 66.1.47.34.1 CancellationStatusReport <CxIStsRpt>

*Presence:* [1..1]

*Definition:* Status report details of a bulk or multiple or switch order cancellation message.

**CancellationStatusReport <CxIStsRpt>** contains the following **OrderStatusAndReason9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2548
	CancellationStatus <CxISts>	[1..1]	±		2548
	StatusInitiator <StsInitr>	[0..1]	±		2549

##### 66.1.47.34.1.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2837

##### 66.1.47.34.1.2 CancellationStatus <CxISts>

*Presence:* [1..1]

*Definition:* Cancellation status of the order cancellation.



**CancellationStatus <CxISts>** contains one of the following elements (see "CancellationStatus22Choice" on page 2521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2521
Or}	Rejected <Rjctd>	[1..1]	±	C8	2521

#### 66.1.47.34.1.3 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order cancellation.

**StatusInitiator <StsInitr>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.47.34.2 IndividualCancellationStatusReport <IndvCxIStsRpt>

*Presence:* [1..\*]

*Definition:* Status report details of one or more individual orders from a bulk or multiple or switch order cancellation request.

**IndividualCancellationStatusReport <IndvCxIStsRpt>** contains the following **IndividualOrderStatusAndReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2549
	OrderReference <OrdRef>	[1..1]	Text		2550
	ClientReference <ClntRef>	[0..1]	Text		2550
	CancellationReference <CxIRef>	[0..1]	Text		2550
	CancellationStatus <CxISts>	[1..1]	±		2550
	StatusInitiator <StsInitr>	[0..1]	±		2550
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C6	2550
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C4	2551

##### 66.1.47.34.2.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2837

**66.1.47.34.2.2 OrderReference <OrdRef>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**66.1.47.34.2.3 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2837**66.1.47.34.2.4 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2837**66.1.47.34.2.5 CancellationStatus <CxlSts>***Presence:* [1..1]*Definition:* Cancellation status of the order cancellation.**CancellationStatus <CxlSts>** contains one of the following elements (see "CancellationStatus22Choice" on page 2521 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2521
Or}	Rejected <Rjctd>	[1..1]	±	C8	2521

**66.1.47.34.2.6 StatusInitiator <StsIntr>***Presence:* [0..1]*Definition:* Party that initiates the status of the individual order cancellation.**StatusInitiator <StsIntr>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.47.34.2.7 InvestmentAccountDetails <InvstmtAcctDtls>***Presence:* [0..1]*Definition:* Account information of the individual order cancellation for which the status is given.*Impacted by:* C6 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1620 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1620
	AccountName <AcctNm>	[0..1]	Text		1621
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1621
	OwnerIdentification <OwnrId>	[0..*]	±		1621
	AccountServicer <AcctSvcr>	[0..1]	±		1621
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1621
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1622

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 66.1.47.34.2.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order cancellation for which the status is given.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1513 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1514
	Name <Nm>	[0..1]	Text		1514
	ShortName <ShrtNm>	[0..1]	Text		1514
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1515
	ClassType <ClsTp>	[0..1]	Text		1515
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1515
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1515
	ProductGroup <PdctGrp>	[0..1]	Text		1515
	SeriesIdentification <SrsId>	[0..1]		C9	1516
	SeriesDate <SrsDt>	[0..1]	±		1516
	SeriesName <SrsNm>	[0..1]	Text		1516

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.47.35 ConditionallyAcceptedStatus3Choice**

*Definition:* Reason for a conditionally accepted status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2552
Or}	ReasonDetails <RsnDtls>	[1..5]			2552
	Reason <Rsn>	[1..1]			2552
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553
	AdditionalInformation <AddtlInf>	[0..1]	Text		2553

**66.1.47.35.1 NoSpecifiedReason <NoSpcfdRsn>**

*Presence:* [1..1]

*Definition:* No reason available or to report for the conditionally accepted status.

*Datatype:* "NoReasonCode" on page 2765

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

**66.1.47.35.2 ReasonDetails <RsnDtls>**

*Presence:* [1..5]

*Definition:* Reason for the conditionally accepted status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **ConditionallyAcceptedStatusReason3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2552
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553
	AdditionalInformation <AddtlInf>	[0..1]	Text		2553

**66.1.47.35.2.1 Reason <Rsn>**

*Presence:* [1..1]

*Definition:* Reason for the conditionally accepted status expressed as a code.

**Reason <Rsn>** contains one of the following **ConditionallyAcceptedStatusReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2553
Or}	Proprietary <Prtry>	[1..1]	±		2553

#### 66.1.47.35.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Conditionally accepted reason expressed as a code.

*Datatype:* "ConditionallyAcceptedStatusReason2Code" on page 2722

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

#### 66.1.47.35.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Conditionally accepted reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.47.35.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the conditionally accepted reason.

*Datatype:* "Max350Text" on page 2837

## 66.1.48 Structured Postal Address

### 66.1.48.1 StructuredLongPostalAddress1

*Definition:* Address of a party expressed in a formal structure, usually according to the country's postal services specifications.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		2554
	StreetName <StrtNm>	[0..1]	Text		2554
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		2554
	Floor <Flr>	[0..1]	Text		2555
	TownName <TwnNm>	[1..1]	Text		2555
	DistrictName <DstrctNm>	[0..1]	Text		2555
	RegionIdentification <RgnId>	[0..1]	Text		2555
	State <Stat>	[0..1]	Text		2555
	CountyIdentification <CtyId>	[0..1]	Text		2555
	Country <Ctry>	[1..1]	CodeSet	C12	2555
	PostCodeIdentification <PstCdId>	[1..1]	Text		2556
	PostOfficeBox <POB>	[0..1]	Text		2556

#### Constraints

- **StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

#### 66.1.48.1.1 BuildingName <BldgNm>

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 2837

#### 66.1.48.1.2 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max35Text" on page 2837

#### 66.1.48.1.3 StreetBuildingIdentification <StrtBldgId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.4 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* "Max16Text" on page 2836

#### **66.1.48.1.5 TownName <TwnNm>**

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.6 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Name of a district, that is, a part of a town or region.

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.7 RegionIdentification <Rgnld>**

*Presence:* [0..1]

*Definition:* Identification of an administrative division of a country, state, or territory.

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.8 State <Stat>**

*Presence:* [0..1]

*Definition:* Organised political community or area forming a part of a federation.

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.9 CountyIdentification <Ctyld>**

*Presence:* [0..1]

*Definition:* Identifier of a county.

*Datatype:* "Max35Text" on page 2837

#### **66.1.48.1.10 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.48.1.11 PostCodeIdentification <PstCld>**

*Presence:* [1..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 2836

**66.1.48.1.12 PostOfficeBox <POB>**

*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 2836

**66.1.49 Tax****66.1.49.1 Tax30**

*Definition:* Tax related to an investment fund order.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2557
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559
	Tax <Tax>	[0..1]			2559
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560
	Country <Ctry>	[0..1]	CodeSet	C12	2560
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2560
	ExemptionReason <XmptnRsn>	[0..1]			2560
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563
	RecipientIdentification <RcptId>	[0..1]	±		2564
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2564
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

#### 66.1.49.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2557
Or}	Proprietary <Prtry>	[1..1]	±		2559

#### 66.1.49.1.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2809

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.

CodeName	Name	Definition
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the

CodeName	Name	Definition
		opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 66.1.49.1.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.1.2 Tax <Tax>

*Presence:* [0..1]

*Definition:* Tax to be applied.

**Tax <Tax>** contains one of the following **TaxAmountOrRate4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1, C13	2559
Or}	Rate <Rate>	[1..1]	Rate		2560

##### 66.1.49.1.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

#### 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.

#### 66.1.49.1.2.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.49.1.3 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

#### Constraints

- **Country**

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

#### 66.1.49.1.4 ExemptionIndicator <XmptnInd>

*Presence:* [1..1]

*Definition:* Indicates whether a tax exemption applies.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.49.1.5 ExemptionReason <XmptnRsn>

*Presence:* [0..1]

*Definition:* Reason for the tax exemption.

**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2560
Or}	Proprietary <Prtry>	[1..1]	±		2563

#### 66.1.49.1.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a code.

*Datatype:* "TaxExemptReason1Code" on page 2801

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up

CodeName	Name	Definition
		for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 66.1.49.1.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.1.6 RecipientIdentification <RcptId>***Presence:* [0..1]*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

**66.1.49.1.7 TaxCalculationDetails <TaxClctnDtls>***Presence:* [0..1]*Definition:* Information used to calculate the tax.**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[1..1]			2564
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

**66.1.49.1.7.1 Basis <Bsis>***Presence:* [1..1]*Definition:* Form of the rebate, for example, cash.**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2564
Or}	Proprietary <Prtry>	[1..1]	±		2565

**66.1.49.1.7.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.



**66.1.49.1.7.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.2 Tax31***Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2565
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567
	AppliedAmount <ApldAmt>	[1..1]	Amount	C1, C13	2567
	AppliedRate <ApldRate>	[0..1]	Rate		2568
	Country <Ctry>	[0..1]	CodeSet	C12	2568
	RecipientIdentification <RcptId>	[0..1]	±		2568
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2568
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

**66.1.49.2.1 Type <Tp>***Presence:* [1..1]*Definition:* Type of tax.**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2566
Or}	Proprietary <Prtry>	[1..1]	±		2567

**66.1.49.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of tax expressed as a code.*Datatype:* "TaxType17Code" on page 2809

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.

CodeName	Name	Definition
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 66.1.49.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.2.2 AppliedAmount <ApIdAmt>

*Presence:* [1..1]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* [C1](#) "ActiveCurrency", [C13](#) "CurrencyAmount"

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

#### 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.

#### 66.1.49.2.3 AppliedRate <ApldRate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.49.2.4 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.49.2.5 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.49.2.6 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2569
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2569

**66.1.49.2.6.1 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the rebate, for example, cash.**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2569
Or}	Proprietary <Prtry>	[1..1]	±		2569

**66.1.49.2.6.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**66.1.49.2.6.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.2.6.2 TaxableAmount <TaxblAmt>***Presence:* [1..1]*Definition:* Amount of money on which the tax is charged.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

### 66.1.49.3 InformativeTax2

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2571
	EUCapitalGain <EUCptlGn>	[0..1]			2571
{Or	Code <Cd>	[1..1]	CodeSet		2571
Or}	Proprietary <Prtry>	[1..1]	±		2572
	EUDividendStatus <EUDvddSts>	[0..1]			2572
{Or	Code <Cd>	[1..1]	CodeSet		2572
Or}	Proprietary <Prtry>	[1..1]	±		2572
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2573
	IndividualTax <IndvTax>	[0..*]			2573
	Type <Tp>	[1..1]			2574
{Or	Code <Cd>	[1..1]	CodeSet		2574
Or}	Proprietary <Prtry>	[1..1]	±		2576
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2576
	InformativeRate <InftvRate>	[0..1]	Rate		2576
	Country <Ctry>	[0..1]	CodeSet	C12	2577
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2577
	ExemptionReason <XmptnRsn>	[0..1]			2577
{Or	Code <Cd>	[1..1]	CodeSet		2577
Or}	Proprietary <Prtry>	[1..1]	±		2580
	RecipientIdentification <Rcptld>	[0..1]	±		2580
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2581
	Basis <Bsis>	[0..1]			2581
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2582

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**66.1.49.3.1 TaxableIncomePerDividend <TaxblIncMPerDvdd>**

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.49.3.2 EUCapitalGain <EUCptlGn>**

*Presence:* [0..1]

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUCapitalGain <EUCptlGn>** contains one of the following **EUCapitalGain3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2571
Or}	Proprietary <Prtry>	[1..1]	±		2572

**66.1.49.3.2.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a code.

*Datatype:* "EUCapitalGain2Code" on page 2732

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.

CodeName	Name	Definition
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 66.1.49.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.3.3 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUDividendStatus <EUDvddSts>** contains one of the following **EUDividendStatusType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2572
Or}	Proprietary <Prtry>	[1..1]	±		2572

##### 66.1.49.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* EU dividend status expressed as a code.

*Datatype:* "[EUDividendStatus1Code](#)" on page 2732

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

##### 66.1.49.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]



*Definition:* EU dividend status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.3.4 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "[PercentageRate](#)" on page 2835

#### 66.1.49.3.5 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Information related to a specific tax that is provided for information purposes.

**IndividualTax <IndvTax>** contains the following **Tax40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2574
{Or	Code <Cd>	[1..1]	CodeSet		2574
Or}	Proprietary <Prtry>	[1..1]	±		2576
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2576
	InformativeRate <InftvRate>	[0..1]	Rate		2576
	Country <Ctry>	[0..1]	CodeSet	C12	2577
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2577
	ExemptionReason <XmptnRsn>	[0..1]			2577
{Or	Code <Cd>	[1..1]	CodeSet		2577
Or}	Proprietary <Prtry>	[1..1]	±		2580
	RecipientIdentification <Rcptld>	[0..1]	±		2580
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2581
	Basis <Bsis>	[0..1]			2581
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2582

#### 66.1.49.3.5.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax applied.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2574
Or}	Proprietary <Prtry>	[1..1]	±		2576

##### 66.1.49.3.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2809

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.

CodeName	Name	Definition
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).

CodeName	Name	Definition
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 66.1.49.3.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.3.5.2 InformativeAmount <InftvAmt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the tax. This amount is provided for information only.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.49.3.5.3 InformativeRate <InftvRate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax. This rate is provided for information only.

*Datatype:* "PercentageRate" on page 2835

**66.1.49.3.5.4 Country <Ctry>***Presence:* [0..1]*Definition:* Country where the tax is due.*Impacted by:* C12 "Country"*Datatype:* "CountryCode" on page 2726**Constraints**

- **Country**

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

**66.1.49.3.5.5 ExemptionIndicator <XmptnInd>***Presence:* [1..1]*Definition:* Indicates whether a tax exemption applies.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.49.3.5.6 ExemptionReason <XmptnRsn>***Presence:* [0..1]*Definition:* Reason for the tax exemption.**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2577
Or}	Proprietary <Prtry>	[1..1]	±		2580

**66.1.49.3.5.6.1 Code <Cd>***Presence:* [1..1]*Definition:* Exemption reason expressed as a code.*Datatype:* "TaxExemptReason1Code" on page 2801

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.

CodeName	Name	Definition
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).

CodeName	Name	Definition
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when

CodeName	Name	Definition
		a party switches from a regular IRA (required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 66.1.49.3.5.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.3.5.7 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118



**66.1.49.3.5.8 TaxCalculationDetails <TaxClctnDtls>***Presence:* [0..1]*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2581
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2582

**66.1.49.3.5.8.1 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2581
Or}	Proprietary <Prtry>	[1..1]	±		2581

**66.1.49.3.5.8.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**66.1.49.3.5.8.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.3.5.8.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* "[ActiveCurrencyAndAmount](#)" on page 2704

#### 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.

#### 66.1.49.4 TaxReference1

*Definition:* Pension scheme tax reference.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2582
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583
	Reference <Ref>	[1..1]	Text		2583
	HolderType <HldrTp>	[0..1]			2583
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 66.1.49.4.1 TaxType <TaxTp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**TaxType <TaxTp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2583
Or}	Proprietary <Prtry>	[1..1]	±		2583

#### 66.1.49.4.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.

*Datatype:* "PersonIdentificationType7Code" on page 2775

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 66.1.49.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.49.4.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Tax reference.

*Datatype:* "Max35Text" on page 2837

#### 66.1.49.4.3 HolderType <HldrTp>

*Presence:* [0..1]

*Definition:* Type of reference holder. For example, the transferee's tax reference. The transferee may also be known as the acquiring party.

**HolderType <HldrTp>** contains one of the following **TaxReferenceParty1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2584
Or}	Proprietary <Prtry>	[1..1]	±		2584

#### 66.1.49.4.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of party expressed as a code.

*Datatype:* "HolderType1Code" on page 2743

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

#### 66.1.49.4.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of party expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

#### 66.1.49.5 Tax38

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	Basis <Bsis>	[0..1]			2587
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587
	Amount <Amt>	[1..1]	Amount	C1, C13	2587
	Country <Ctry>	[0..1]	CodeSet	C12	2588
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2588
	ExemptionReason <XmptnRsn>	[0..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591
	RecipientIdentification <RcptId>	[0..1]	±		2591
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2592
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

#### 66.1.49.5.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586

##### 66.1.49.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType16Code" on page 2808

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.

#### 66.1.49.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.5.2 Basis <Bsis>***Presence:* [0..1]*Definition:* Basis used to determine the capital gain or loss.**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587

**66.1.49.5.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**66.1.49.5.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.5.3 Amount <Amt>***Presence:* [1..1]*Definition:* Amount of money resulting from the calculation of the tax.*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

#### 66.1.49.5.4 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

##### Constraints

- **Country**

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

#### 66.1.49.5.5 ExemptionIndicator <XmptnInd>

*Presence:* [1..1]

*Definition:* Indicates whether a tax exemption applies.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.49.5.6 ExemptionReason <XmptnRsn>

*Presence:* [0..1]

*Definition:* Reason for the tax exemption.

**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591

##### 66.1.49.5.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a code.

*Datatype:* "TaxExemptReason1Code" on page 2801

CodeName	Name	Definition
NONE	None	Account is not tax exempt.



CodeName	Name	Definition
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed

CodeName	Name	Definition
		upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 66.1.49.5.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.5.7 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.49.5.8 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

##### 66.1.49.5.8.1 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Basis used to determine the capital gain or loss.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592

##### 66.1.49.5.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

##### 66.1.49.5.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.5.8.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704

#### 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.

#### 66.1.49.6 Tax35

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2594
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C1, C13	2596
	AppliedRate <ApIdRate>	[0..1]	Rate		2596
	Country <Ctry>	[0..1]	CodeSet	C12	2596
	RecipientIdentification <RcptId>	[0..1]	±		2597
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2597
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

#### 66.1.49.6.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2594
Or}	Proprietary <Prtry>	[1..1]	±		2596

##### 66.1.49.6.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2809

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is

CodeName	Name	Definition
		gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

**66.1.49.6.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of tax expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.6.2 AppliedAmount <ApIdAmt>***Presence:* [1..1]*Definition:* Amount of money resulting from the calculation of the tax.*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2704**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.

**66.1.49.6.3 AppliedRate <ApIdRate>***Presence:* [0..1]*Definition:* Rate used to calculate the tax.*Datatype:* ["PercentageRate"](#) on page 2835**66.1.49.6.4 Country <Ctry>***Presence:* [0..1]*Definition:* Country where the tax is due.*Impacted by:* [C12 "Country"](#)*Datatype:* ["CountryCode"](#) on page 2726



**Constraints**

- **Country**

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

**66.1.49.6.5 RecipientIdentification <RcptId>**

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.49.6.6 TaxCalculationDetails <TaxClctnDtls>**

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2597
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2598

**66.1.49.6.6.1 Basis <Bsis>**

*Presence:* [0..1]

*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2597
Or}	Proprietary <Prtry>	[1..1]	±		2598

**66.1.49.6.6.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 66.1.49.6.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.6.6.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

#### 66.1.49.7 TaxExemptionReason2Choice

*Definition:* Choice of formats for the specification of the tax exemption reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2599
Or}	Proprietary <Prtry>	[1..1]	±		2602

**66.1.49.7.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax exemption reason expressed as a code.*Datatype:* "TaxExemptReason3Code" on page 2804

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelSA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA.

CodeName	Name	Definition
		Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.

CodeName	Name	Definition
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

#### 66.1.49.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.8 InformativeTax1

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C1, C13	2603
	EUCapitalGain <EUCptlGn>	[0..1]			2604
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604
	EUDividendStatus <EUDvddSts>	[0..1]			2605
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2606
	IndividualTax <IndvTax>	[0..*]			2606
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <Rcptld>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

### Constraints

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

#### 66.1.49.8.1 TaxableIncomePerDividend <TaxblIncmPerDvdd>

Presence: [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

#### 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.

### 66.1.49.8.2 EUCapitalGain <EUCptlGn>

*Presence:* [0..1]

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUCapitalGain <EUCptlGn>** contains one of the following **EUCapitalGain3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2604
Or}	Proprietary <Prtry>	[1..1]	±		2604

#### 66.1.49.8.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a code.

*Datatype:* "EUCapitalGain2Code" on page 2732

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 66.1.49.8.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.8.3 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUDividendStatus <EUDvddSts>** contains one of the following **EUDividendStatusType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2605
Or}	Proprietary <Prtry>	[1..1]	±		2605

##### 66.1.49.8.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* EU dividend status expressed as a code.

*Datatype:* "[EUDividendStatus1Code](#)" on page 2732

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

##### 66.1.49.8.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* EU dividend status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.8.4 PercentageOfDebtClaim <PctgOfDebtCIm>***Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "PercentageRate" on page 2835**66.1.49.8.5 IndividualTax <IndvTax>***Presence:* [0..\*]

*Definition:* Information related to a specific tax that is provided for information purposes.

**IndividualTax <IndvTax>** contains the following **Tax32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2606
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608
	InformativeAmount <InftvAmt>	[0..1]	Amount	C1, C13	2608
	InformativeRate <InftvRate>	[0..1]	Rate		2609
	Country <Ctry>	[0..1]	CodeSet	C12	2609
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2609
	ExemptionReason <XmptnRsn>	[0..1]			2609
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612
	RecipientIdentification <RcptId>	[0..1]	±		2613
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2613
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

**66.1.49.8.5.1 Type <Tp>***Presence:* [1..1]

*Definition:* Type of tax applied.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2607
Or}	Proprietary <Prtry>	[1..1]	±		2608

#### 66.1.49.8.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2809

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax,

CodeName	Name	Definition
		preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 66.1.49.8.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47"](#) on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.8.5.2 InformativeAmount <InftvAmt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the tax. This amount is provided for information only.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.49.8.5.3 InformativeRate <InftvRate>**

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax. This rate is provided for information only.

*Datatype:* "PercentageRate" on page 2835

**66.1.49.8.5.4 Country <Ctry>**

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.49.8.5.5 ExemptionIndicator <XmptnInd>**

*Presence:* [1..1]

*Definition:* Indicates whether a tax exemption applies.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.49.8.5.6 ExemptionReason <XmptnRsn>**

*Presence:* [0..1]

*Definition:* Reason for the tax exemption.

**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2610
Or}	Proprietary <Prtry>	[1..1]	±		2612

**66.1.49.8.5.6.1 Code <Cd>***Presence:* [1..1]*Definition:* Exemption reason expressed as a code.*Datatype:* "TaxExemptReason1Code" on page 2801

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA.

CodeName	Name	Definition
		Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 66.1.49.8.5.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.8.5.7 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "[PartyIdentification113](#)" on page 2108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2109
	LEI <LEI>	[0..1]	IdentifierSet		2109

#### 66.1.49.8.5.8 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2613
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2614

##### 66.1.49.8.5.8.1 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2614
Or}	Proprietary <Prtry>	[1..1]	±		2614

**66.1.49.8.5.8.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2800

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**66.1.49.8.5.8.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

**66.1.49.8.5.8.2 TaxableAmount <TaxblAmt>***Presence:* [1..1]*Definition:* Amount of money on which the tax is charged.*Impacted by:* [C1 "ActiveCurrency"](#), [C13 "CurrencyAmount"](#)*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.49.9 TaxReporting3***Definition:* Information for tax reporting.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C12	2615
	TaxRate <TaxRate>	[0..1]	Rate		2616
	TaxPayer <TaxPyer>	[0..1]	±		2616
	TaxRecipient <TaxRcpt>	[0..1]	±		2616
	CashAccountDetails <CshAcctDtls>	[0..1]			2616
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622
	Description <Desc>	[0..1]	Text		2623

#### 66.1.49.9.1 TaxationCountry <TaxtnCtry>

*Presence:* [1..1]

*Definition:* Country of taxation of the organisation or individual person.

*Impacted by:* C12 "Country"

*Datatype:* "CountryCode" on page 2726

**Constraints**

- **Country**

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

**66.1.49.9.2 TaxRate <TaxRate>**

*Presence:* [0..1]

*Definition:* Tax rate to be applied.

*Datatype:* "PercentageRate" on page 2835

**66.1.49.9.3 TaxPayer <TaxPyr>**

*Presence:* [0..1]

*Definition:* Party that pays the tax.

**TaxPayer <TaxPyr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

**66.1.49.9.4 TaxRecipient <TaxRcpt>**

*Presence:* [0..1]

*Definition:* Party that receives the tax.

**TaxRecipient <TaxRcpt>** contains one of the following elements (see "PartyIdentification125Choice" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

**66.1.49.9.5 CashAccountDetails <CshAcctDtls>**

*Presence:* [0..1]

*Definition:* Cash account information for the payment of tax.

**CashAccountDetails <CshAcctDtls>** contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C1	2617
	Identification <Id>	[1..1]	±		2617
	AccountOwner <AcctOwnr>	[0..1]	±		2618
	AccountServicer <AcctSvcr>	[0..1]	±		2618
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2618
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2619
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2619
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2619
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2620
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountPurpose <CshAcctPurp>	[0..1]			2621
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2622
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622
	DividendPercentage <DvddPctg>	[0..1]	Rate		2622

#### 66.1.49.9.5.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2711

#### 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.

#### 66.1.49.9.5.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1290 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1291
	Name <Nm>	[0..1]	Text		1291

#### 66.1.49.9.5.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C4	1976
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1977
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1977

#### 66.1.49.9.5.4 AccountServicer <AcctSvcr>

*Presence:* [0..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 "[FinancialInstitutionIdentification11Choice](#)" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1463
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1463
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1463
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1464
	Identification <Id>	[1..1]	Text		1464

#### 66.1.49.9.5.5 AccountServicerBranch <AcctSvcrBrnch>

*Presence:* [0..1]

*Definition:* Information identifying 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.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1466 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1467
	Name <Nm>	[0..1]	Text		1467
	PostalAddress <PstlAdr>	[0..1]	±		1467

#### 66.1.49.9.5.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1563 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1563
	Type <Tp>	[1..1]			1564
{Or	Code <Cd>	[1..1]	CodeSet		1564
Or}	Proprietary <Prtry>	[1..1]	±		1565
	Issuer <Issr>	[0..1]	Text		1565
	IssueDate <IsseDt>	[0..1]	Date		1565
	ExpiryDate <XpryDt>	[0..1]	Date		1565
	State <Stat>	[0..1]	Text		1565
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C12	1565

#### 66.1.49.9.5.7 InvestmentAccountType <InvstmtAcctTp>

*Presence:* [0..1]

*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1288
Or}	Proprietary <Prtry>	[1..1]	±		1288

#### 66.1.49.9.5.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2727

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 66.1.49.9.5.9 SettlementInstructionReason <SttlmInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlmInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2620
Or}	Proprietary <Prtry>	[1..1]	±		2621

#### 66.1.49.9.5.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2796

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.



CodeName	Name	Definition
CORP	CorporateAction	Settlement of corporate actions.

#### 66.1.49.9.5.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.9.5.10 CashAccountPurpose <CshAcctPurp>

*Presence:* [0..1]

*Definition:* Purpose of the cash account.

**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2621
Or}	Proprietary <Prtry>	[1..1]	±		2621

#### 66.1.49.9.5.10.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a code.

*Datatype:* "[CashAccountType5Code](#)" on page 2717

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

#### 66.1.49.9.5.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.49.9.5.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2622
Or}	Proprietary <Prtry>	[1..1]	±		2622

##### 66.1.49.9.5.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "[Rank1Code](#)" on page 2780

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 66.1.49.9.5.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

##### 66.1.49.9.5.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2835

#### 66.1.49.9.6 Description <Desc>

*Presence:* [0..1]

*Definition:* Additional information for the reporting of tax.

*Datatype:* "Max350Text" on page 2837

## 66.1.50 Transaction Type

### 66.1.50.1 CorporateAction1Choice

*Definition:* Choice of formats for the corporate action event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2623
Or}	Proprietary <Prtry>	[1..1]	±		2625

#### 66.1.50.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Corporate action event type expressed as a code.

*Datatype:* "CorporateActionEventType1Code" on page 2724

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is

CodeName	Name	Definition
		not offered a choice in the form of distribution.
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically

CodeName	Name	Definition
		represented by shares, rights or warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation.  It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital payout to shareholder.

#### 66.1.50.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Corporate action event expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

## 66.1.50.2 TransactionType2Choice

*Definition:* Choice of formats for the transaction type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2626
Or}	Proprietary <Prtry>	[1..1]	±		2627

### 66.1.50.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[TransactionType2Code](#)" on page 2812

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.

CodeName	Name	Definition
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

#### 66.1.50.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1562 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562

#### 66.1.50.3 SettlementTransactionCondition30Choice

*Definition:* Choice of format for the settlement transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

##### 66.1.50.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement condition expressed as a code.

*Datatype:* "[SettlementTransactionCondition11Code](#)" on page 2797

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

##### 66.1.50.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement condition expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

#### 66.1.50.4 TradeTransactionCondition8Choice

*Definition:* Choice of format for the trade transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

##### 66.1.50.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Trade condition expressed as a code.

*Datatype:* "[TradeTransactionCondition5Code](#)" on page 2812

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

##### 66.1.50.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Trade condition expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1576
	Issuer <Issr>	[1..1]	Text		1576
	SchemeName <SchmeNm>	[0..1]	Text		1576

## 66.1.51 Transfer

### 66.1.51.1 DeliverInformation21

*Definition:* Parameters applied to the settlement of a security transfer.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2629
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2630
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2630
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2630
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2631
	IncomePreference <IncmPref>	[0..1]	CodeSet		2631
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2631
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2631
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2632
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2632
	StampDuty <StmpDty>	[0..1]	CodeSet		2632
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2632
	Fees <Fees>	[0..*]	±	C16	2633
	IndividualTax <IndvTax>	[0..*]	±		2634
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2634
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2635
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2636
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2636
	ClientReference <ClntRef>	[0..1]	±		2636

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

#### 66.1.51.1.1 Transferor <Trfr>

Presence: [0..1]

*Definition:* Party that delivers (transferor) securities to the receiving agent (transferee).

**Transferor <Trfr>** contains the following elements (see ["PartyIdentification139"](#) on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.51.1.2 TransferorRegisteredAccount <TrfrRegdAcct>

*Presence:* [0..1]

*Definition:* Account from which the securities are to be delivered.

**TransferorRegisteredAccount <TrfrRegdAcct>** contains the following elements (see ["Account31"](#) on page 1680 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1680
	AccountName <AcctNm>	[0..1]	Text		1680
	Designation <Dsgnt>	[0..1]	Text		1680
	Servicer <Svcr>	[0..1]	±		1680
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1681

#### 66.1.51.1.3 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see ["Intermediary43"](#) on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.51.1.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* ["FormOfSecurity1Code"](#) on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.51.1.5 DematerialisedIndicator <DmtrlsdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2834):

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

#### 66.1.51.1.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.51.1.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* ["BeneficiaryCertificationCompletion1Code"](#) on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 66.1.51.1.8 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* ["ISODate"](#) on page 2822

**66.1.51.1.9 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**66.1.51.1.10 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.51.1.11 StampDuty <StmpDty>***Presence:* [0..1]*Definition:* Specifies if the settlement amount includes the stamp duty amount.*Datatype:* "StampDutyType2Code" on page 2798

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**66.1.51.1.12 NetAmount <NetAmt>***Presence:* [0..1]*Definition:* Deal amount.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

#### 66.1.51.1.13 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C16 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1380 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1381
	IndividualFee <IndvFee>	[0..*]			1381
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**66.1.51.1.14 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2584 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	Basis <Bsis>	[0..1]			2587
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587
	Amount <Amt>	[1..1]	Amount	C1, C13	2587
	Country <Ctry>	[0..1]	CodeSet	C12	2588
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2588
	ExemptionReason <XmptnRsn>	[0..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591
	RecipientIdentification <RcptId>	[0..1]	±		2591
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2592
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

**66.1.51.1.15 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

**66.1.51.1.16 SettlementPartiesDetails <SttlmPtiesDtls>**

Presence: [0..1]

Definition: Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "[FundSettlementParameters15](#)" on page 2636 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2637
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2637
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2637
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2637

**66.1.51.1.17 PhysicalTransfer <PhysTrf>***Presence:* [0..1]*Definition:* Indicates whether the financial instrument is to be physically delivered.*Datatype:* "PhysicalTransferType1Code" on page 2775

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**66.1.51.1.18 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C18 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "[DeliveryParameters4](#)" on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2329
	NameAndAddress <NmAndAdr>	[0..1]	±		2329
	ContactPerson <CtctPrsn>	[0..1]	±		2329

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**66.1.51.1.19 ClientReference <ClntRef>***Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.2 FundSettlementParameters15***Definition:* Parameters applied to the settlement of a security.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2637
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2637
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2637
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2637

#### 66.1.51.2.1 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see ["TradeTransactionCondition8Choice"](#) on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

#### 66.1.51.2.2 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see ["SettlementTransactionCondition30Choice"](#) on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 66.1.51.2.3 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2837

#### 66.1.51.2.4 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of delivering settlement parties.

*Impacted by:* C6 "BookTransferGuideline", C11 "DepositoryGuideline", C17 "Party2PresenceRule", C18 "Party3PresenceRule", C19 "Party4PresenceRule", C20 "Party5PresenceRule", C21 "SettlementChainGuideline"

**DeliveringSideDetails <DlvrgSdDtls>** contains the following elements (see "SettlementParties94" on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

#### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### 66.1.51.3 FundSettlementParameters18

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2640
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2640
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2640
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2641
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2641

**66.1.51.3.1 SafekeepingPlace <SfkpgPlc>***Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2393
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394
Or	Country <Ctry>	[1..1]	CodeSet	C12	2394
Or	TypeAndIdentification <TpAndId>	[1..1]			2394
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395
Or}	Proprietary <Prtry>	[1..1]	±		2395

**66.1.51.3.2 TradeTransactionCondition <TradTxCond>***Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

**66.1.51.3.3 SettlementTransactionCondition <SttlmTxCond>***Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

**66.1.51.3.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>***Presence:* [0..1]*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.*Datatype:* "Max35Text" on page 2837**66.1.51.3.5 ReceivingSideDetails <RcvgSdDtIs>***Presence:* [0..1]*Definition:* Chain of receiving settlement parties.*Impacted by:* C6 "BookTransferGuideline", C11 "DepositoryGuideline", C17 "Party2PresenceRule", C18 "Party3PresenceRule", C19 "Party4PresenceRule", C20 "Party5PresenceRule", C21 "SettlementChainGuideline"**ReceivingSideDetails <RcvgSdDtIs>** contains the following elements (see "SettlementParties94" on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

**Constraints**

- BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## 66.1.51.4 DeliverInformation20

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2644
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2644
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2644
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2645
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2645
	IncomePreference <IncmPref>	[0..1]	CodeSet		2645
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2645
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2646
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2646
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2646
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2646
	StampDuty <StrmpDty>	[0..1]	CodeSet		2646
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2647
	Fees <Fees>	[0..*]	±	C16	2647
	IndividualTax <IndvTax>	[0..*]	±		2648
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2649
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2650
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2650
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2651
	ClientReference <ClntRef>	[0..1]	±		2651

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

**66.1.51.4.1 Transferor <Trfr>***Presence:* [0..1]*Definition:* Party that delivers (transferor) securities to the receiving agent (transferee).**Transferor <Trfr>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.51.4.2 TransferorRegisteredAccount <TrfrRegdAcct>***Presence:* [0..1]*Definition:* Account from which the securities are to be delivered.**TransferorRegisteredAccount <TrfrRegdAcct>** contains the following elements (see "[Account31](#)" on page 1680 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1680
	AccountName <AcctNm>	[0..1]	Text		1680
	Designation <Dsgnt>	[0..1]	Text		1680
	Servicer <Svcr>	[0..1]	±		1680
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1681

**66.1.51.4.3 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.**IntermediaryInformation <IntrmyInf>** contains the following elements (see "[Intermediary43](#)" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116



**66.1.51.4.4 SecuritiesForm <SctiesForm>***Presence:* [0..1]*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**66.1.51.4.5 DematerialisedIndicator <DmtrlsdInd>***Presence:* [0..1]*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

**66.1.51.4.6 IncomePreference <IncmPref>***Presence:* [0..1]*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**66.1.51.4.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>***Presence:* [0..1]*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**66.1.51.4.8 RequestedTradeDate <ReqdTradDt>***Presence:* [0..1]*Definition:* Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**66.1.51.4.9 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**66.1.51.4.10 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**66.1.51.4.11 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704**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.

**66.1.51.4.12 StampDuty <StmpDty>***Presence:* [0..1]

*Definition:* Specifies if the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2798

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

#### 66.1.51.4.13 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

##### 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.

#### 66.1.51.4.14 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C16 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1380 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1381
	IndividualFee <IndvFee>	[0..*]			1381
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 66.1.51.4.15 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of a financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2584 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	Basis <Bsis>	[0..1]			2587
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587
	Amount <Amt>	[1..1]	Amount	C1, C13	2587
	Country <Ctry>	[0..1]	CodeSet	C12	2588
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2588
	ExemptionReason <XmptnRsn>	[0..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591
	RecipientIdentification <RcptId>	[0..1]	±		2591
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2592
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

#### 66.1.51.4.16 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

#### 66.1.51.4.17 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "[FundSettlementParameters15](#)" on page 2636 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2637
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2637
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2637
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2637

#### 66.1.51.4.18 PhysicalTransfer <PhysTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* "[PhysicalTransferType1Code](#)" on page 2775

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**66.1.51.4.19 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C18 "NameAndAddress1Rule"**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "[DeliveryParameters4](#)" on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2329
	NameAndAddress <NmAndAdr>	[0..1]	±		2329
	ContactPerson <CtctPrsn>	[0..1]	±		2329

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**66.1.51.4.20 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.5 ReceiveInformation21***Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2652
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2653
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2653
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2653
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2654
	IncomePreference <IncmPref>	[0..1]	CodeSet		2654
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2654
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2654
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2655
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2655
	StampDuty <StmpDty>	[0..1]	CodeSet		2655
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2655
	Fees <Fees>	[0..*]	±	C16	2656
	IndividualTax <IndvTax>	[0..*]	±		2657
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2657
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2658
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2659
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2659
	ClientReference <ClntRef>	[0..1]	±		2659

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

### 66.1.51.5.1 Transferee <Trfee>

Presence: [0..1]



*Definition:* Party that receives (transferee) securities from the delivering agent (transferor).

**Transferee <Trfee>** contains the following elements (see "PartyIdentification139" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

#### 66.1.51.5.2 TransfereeRegisteredAccount <TrfeeRegdAcct>

*Presence:* [0..1]

*Definition:* Account into which the securities are to be received.

**TransfereeRegisteredAccount <TrfeeRegdAcct>** contains the following elements (see "Account31" on page 1680 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1680
	AccountName <AcctNm>	[0..1]	Text		1680
	Designation <Dsgnt>	[0..1]	Text		1680
	Servicer <Svcr>	[0..1]	±		1680
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1681

#### 66.1.51.5.3 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.51.5.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.51.5.5 DematerialisedIndicator <DmtrlsdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2834](#)):

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

#### 66.1.51.5.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code" on page 2744](#)

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.1.51.5.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* ["BeneficiaryCertificationCompletion1Code" on page 2713](#)

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 66.1.51.5.8 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* ["ISODate" on page 2822](#)

**66.1.51.5.9 RequestedSettlementDate <ReqdSttlmDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

**66.1.51.5.10 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.51.5.11 StampDuty <StmpDty>**

*Presence:* [0..1]

*Definition:* Specifies if whether the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2798

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**66.1.51.5.12 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

#### 66.1.51.5.13 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C16 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1380 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1381
	IndividualFee <IndvFee>	[0..*]			1381
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**66.1.51.5.14 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2584 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	Basis <Bsis>	[0..1]			2587
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587
	Amount <Amt>	[1..1]	Amount	C1, C13	2587
	Country <Ctry>	[0..1]	CodeSet	C12	2588
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2588
	ExemptionReason <XmptnRsn>	[0..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591
	RecipientIdentification <RcptId>	[0..1]	±		2591
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2592
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

**66.1.51.5.15 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

**66.1.51.5.16 SettlementPartiesDetails <SttlmPtiesDtls>**

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "[FundSettlementParameters16](#)" on page 2659 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2660
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2660
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2660
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2660

**66.1.51.5.17 PhysicalTransfer <PhysTrf>***Presence:* [0..1]*Definition:* Indicates whether the financial instrument is to be physically delivered.*Datatype:* "PhysicalTransferType1Code" on page 2775

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**66.1.51.5.18 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C18 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "[DeliveryParameters4](#)" on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2329
	NameAndAddress <NmAndAdr>	[0..1]	±		2329
	ContactPerson <CtctPrsn>	[0..1]	±		2329

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**66.1.51.5.19 ClientReference <ClntRef>***Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.6 FundSettlementParameters16***Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2660
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2660
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2660
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2660

#### 66.1.51.6.1 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see ["TradeTransactionCondition8Choice"](#) on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

#### 66.1.51.6.2 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see ["SettlementTransactionCondition30Choice"](#) on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 66.1.51.6.3 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2837

#### 66.1.51.6.4 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]



*Definition:* Chain of receiving settlement parties.

*Impacted by:* C6 "BookTransferGuideline", C11 "DepositoryGuideline", C17 "Party2PresenceRule", C18 "Party3PresenceRule", C19 "Party4PresenceRule", C20 "Party5PresenceRule", C21 "SettlementChainGuideline"

**ReceivingSideDetails <RcvgSdDtls>** contains the following elements (see "SettlementParties94" on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

#### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## 66.1.51.7 Transfer36

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2663
	ClientReference <CIntRef>	[0..1]	±		2663
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2664
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2664
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2664
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2665
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2665
	TransferReason <TrfRsn>	[0..1]	±		2665
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2665
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2666
	Quantity <Qty>	[1..1]	±		2666
	UnitsDetails <UnitsDtls>	[0..*]	±		2666
	Rounding <Rndg>	[0..1]	CodeSet		2667
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2667
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2668
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2668
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2668
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2669
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2669

### Constraints

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

#### 66.1.51.7.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

#### 66.1.51.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 66.1.51.7.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

#### 66.1.51.7.4 BusinessFlowType <BizFlowTp>

*Presence:* [0..1]

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

*Datatype:* "[BusinessFlowType1Code](#)" on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

#### 66.1.51.7.5 RequestedTransferDate <ReqdTrfDt>

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer.

**RequestedTransferDate <ReqdTrfDt>** contains one of the following elements (see "DateFormat1Choice" on page 1353 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1353
Or	Code <Cd>	[1..1]	CodeSet		1354
Or}	DateTime <DtTm>	[1..1]	DateTime		1354

#### 66.1.51.7.6 RequestedSettlementDate <ReqdSttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

#### 66.1.51.7.7 TransferOrderDateForm <TrfOrdDtForm>

*Presence:* [0..1]

*Definition:* Date on which the investor signed the transfer order form.

*Datatype:* "ISODate" on page 2822

#### 66.1.51.7.8 TransferReason <TrfRsn>

*Presence:* [0..1]

*Definition:* Reason for the transfer.

**TransferReason <TrfRsn>** contains one of the following elements (see "TransferReason1Choice" on page 2701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2701
Or}	Proprietary <Prtry>	[1..1]	±		2702

#### 66.1.51.7.9 HoldingsPlanType <HldgsPlanTp>

*Presence:* [0..3]

*Definition:* Specifies information about investment plans included in the holding.

*Datatype:* "HoldingsPlanType1Code" on page 2743

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

**66.1.51.7.10 FinancialInstrumentDetails <FinInstrmDtls>***Presence:* [1..1]*Definition:* Information related to the financial instrument to be transferred.*Impacted by:* C17 "IdentificationGuideline"**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument88" on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1498
	Name <Nm>	[0..1]	Text		1499
	ShortName <ShrtNm>	[0..1]	Text		1499
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1499
	ClassType <ClsTp>	[0..1]	Text		1500
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1500
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1500
	DematerialisedIndicator <DmtrlisdInd>	[0..1]	Indicator		1500

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**66.1.51.7.11 Quantity <Qty>***Presence:* [1..1]*Definition:* Total quantity of securities to be transferred, expressed as a number of units or a percentage rate.**Quantity <Qty>** contains one of the following elements (see "Quantity42Choice" on page 1533 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1533
Or}	TransferRate <TrfRate>	[1..1]	Rate		1533

**66.1.51.7.12 UnitsDetails <UnitsDtls>***Presence:* [0..\*]*Definition:* Breakdown of units to be transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit12" on page 1533 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1534
	OrderDate <OrdDt>	[0..1]	Date		1534
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1534
	CertificateNumber <CertNb>	[0..*]	Text		1535
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1535
	Reference <Ref>	[0..1]	Text		1535
	PriceDetails <PricDtls>	[0..1]	±		1535
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C36	1536
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1536
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1536
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1537
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1537
	IndividualFee <IndvFee>	[0..*]	±	C6	1537
	IndividualTax <IndvTax>	[0..*]	±		1538
	OtherAmount <OthrAmt>	[0..*]			1539
	Type <Tp>	[1..1]			1539
{Or	Code <Cd>	[1..1]	CodeSet		1540
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1540
	Amount <Amt>	[1..1]	Amount	C1, C13	1540

#### 66.1.51.7.13 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 66.1.51.7.14 OriginalCost <OrgnlCost>

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### **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.

#### **66.1.51.7.15 AveragePrice <AvrgPric>**

*Presence:* [0..1]

*Definition:* Value of the security, as booked in the account. Book value is often different from the current market value of the security.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **66.1.51.7.16 TransferCurrency <TrfCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **66.1.51.7.17 OwnAccountTransferIndicator <OwnAcctTrfInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):



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

#### 66.1.51.7.18 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for the fund.

*Datatype:* "Max350Text" on page 2837

#### 66.1.51.7.19 TransferExpensesPaymentType <TrfExpnssPmtTp>

*Presence:* [0..1]

*Definition:* Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

**TransferExpensesPaymentType <TrfExpnssPmtTp>** contains one of the following elements (see "ChargePaymentMethod1Choice" on page 1417 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1417
Or}	Proprietary <Prtry>	[1..1]	±		1418

#### 66.1.51.8 Transfer37

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2671
	TransferReference <TrfRef>	[1..1]	Text		2671
	ClientReference <ClntRef>	[0..1]	±		2671
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2671
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2672
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2672
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2672
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2672
	TradeDate <TradDt>	[0..1]	±		2672
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		2673
	TransferReason <TrfRsn>	[0..1]	±		2673
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2673
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2673
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2674
	TransferRate <TrfRate>	[0..1]	Rate		2674
	UnitsDetails <UnitsDtls>	[0..*]	±		2674
	Rounding <Rndg>	[0..1]	CodeSet		2675
	OriginalCost <OrgnlCost>	[0..1]	Amount	C1	2675
	AveragePrice <AvrgPric>	[0..1]	Amount	C2	2676
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C2	2676
	AverageDate <AvrgDt>	[0..1]	Date		2676
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2676
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	2677
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2677
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2677
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2677

**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**66.1.51.8.1 TransferConfirmationReference <TrfConfRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2837

**66.1.51.8.2 TransferReference <TrfRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2837

**66.1.51.8.3 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.8.4 CounterpartyReference <CtrPtyRef>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.8.5 BusinessFlowType <BizFlowTp>***Presence:* [0..1]

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

*Datatype:* "BusinessFlowType1Code" on page 2714

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**66.1.51.8.6 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2822

**66.1.51.8.7 EffectiveTransferDate <FctvTrfDt>***Presence:* [1..1]

*Definition:* Date and time at which the transfer was executed.

**EffectiveTransferDate <FctvTrfDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**66.1.51.8.8 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]

*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**66.1.51.8.9 TradeDate <TradDt>***Presence:* [0..1]

**Definition:** Date and time at which the transaction is completed and cleared, that is, securities are delivered.

**TradeDate <TradDt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

#### 66.1.51.8.10 TransferOrderDateForm <TrfOrdRdtForm>

**Presence:** [0..1]

**Definition:** Date on which the investor signed the transfer order form.

**Datatype:** "[ISODate](#)" on page 2822

#### 66.1.51.8.11 TransferReason <TrfRsn>

**Presence:** [0..1]

**Definition:** Reason for the transfer.

**TransferReason <TrfRsn>** contains one of the following elements (see "[TransferReason1Choice](#)" on page 2701 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2701
Or}	Proprietary <Prtry>	[1..1]	±		2702

#### 66.1.51.8.12 HoldingsPlanType <HldgsPlanTp>

**Presence:** [0..3]

**Definition:** Specifies information about investment plans included in the holding.

**Datatype:** "[HoldingsPlanType1Code](#)" on page 2743

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

#### 66.1.51.8.13 FinancialInstrumentDetails <FinInstrmDtls>

**Presence:** [1..1]

**Definition:** Information related to the financial instrument transferred.

**Impacted by:** [C17 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument88" on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1498
	Name <Nm>	[0..1]	Text		1499
	ShortName <ShrtNm>	[0..1]	Text		1499
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1499
	ClassType <ClsTp>	[0..1]	Text		1500
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1500
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1500
	DematerialisedIndicator <DmtrlSdInd>	[0..1]	Indicator		1500

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

#### 66.1.51.8.14 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [1..1]

*Definition:* Number of units transferred.

*Datatype:* "DecimalNumber" on page 2834

#### 66.1.51.8.15 TransferRate <TrfRate>

*Presence:* [0..1]

*Definition:* Quantity of securities transferred as a percentage of the holding.

*Datatype:* "PercentageRate" on page 2835

#### 66.1.51.8.16 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit12" on page 1533 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1534
	OrderDate <OrdDt>	[0..1]	Date		1534
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1534
	CertificateNumber <CertNb>	[0..*]	Text		1535
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1535
	Reference <Ref>	[0..1]	Text		1535
	PriceDetails <PricDtls>	[0..1]	±		1535
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C36	1536
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C1, C13	1536
	TotalFees <TtlFees>	[0..1]	Amount	C1, C13	1536
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C1, C13	1537
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1537
	IndividualFee <IndvFee>	[0..*]	±	C6	1537
	IndividualTax <IndvTax>	[0..*]	±		1538
	OtherAmount <OthrAmt>	[0..*]			1539
	Type <Tp>	[1..1]			1539
{Or	Code <Cd>	[1..1]	CodeSet		1540
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1540
	Amount <Amt>	[1..1]	Amount	C1, C13	1540

#### 66.1.51.8.17 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2792

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 66.1.51.8.18 OriginalCost <OrgnlCost>

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2704

#### **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.

#### **66.1.51.8.19 AveragePrice <AvrgPric>**

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account before the transfer was executed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **66.1.51.8.20 NewAveragePrice <NewAvrgPric>**

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account after the transfer was executed.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2705

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **66.1.51.8.21 AverageDate <AvrgDt>**

*Presence:* [0..1]

*Definition:* Trade date of the average weighted data of units in the account before the transfer was executed.

*Datatype:* "ISODate" on page 2822

#### **66.1.51.8.22 NewAverageDate <NewAvrgDt>**

*Presence:* [0..1]



*Definition:* Trade date of the average weighted data of units in the account after the transfer was executed.

*Datatype:* "ISODate" on page 2822

#### 66.1.51.8.23 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2711

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 66.1.51.8.24 OwnAccountTransferIndicator <OwnAcctTrfInd>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.51.8.25 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2837

#### 66.1.51.8.26 TransferExpensesPaymentType <TrfExpnssPmtTp>

*Presence:* [0..1]

*Definition:* Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

**TransferExpensesPaymentType <TrfExpnssPmtTp>** contains one of the following elements (see "ChargePaymentMethod1Choice" on page 1417 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1417
Or}	Proprietary <Prtry>	[1..1]	±		1418

### 66.1.51.9 FundSettlementParameters17

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2678
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2678
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2679
	SecuritiesSettlementSystemIdentification <SciesSttlmSysId>	[0..1]	Text		2679
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2679
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2681

#### 66.1.51.9.1 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2393 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2393
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2394
	Identification <Id>	[0..1]	Text		2394
Or	Country <Ctry>	[1..1]	CodeSet	C12	2394
Or	TypeAndIdentification <TpAndId>	[1..1]			2394
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2395
	Identification <Id>	[1..1]	IdentifierSet	C4	2395
Or}	Proprietary <Prtry>	[1..1]	±		2395

#### 66.1.51.9.2 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see ["TradeTransactionCondition8Choice"](#) on page 2628 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2628
Or}	Proprietary <Prtry>	[1..1]	±		2628

#### 66.1.51.9.3 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see ["SettlementTransactionCondition30Choice"](#) on page 2627 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2627
Or}	Proprietary <Prtry>	[1..1]	±		2627

#### 66.1.51.9.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* ["Max35Text"](#) on page 2837

#### 66.1.51.9.5 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of receiving settlement parties.

*Impacted by:* [C6 "BookTransferGuideline"](#), [C11 "DepositoryGuideline"](#), [C17 "Party2PresenceRule"](#), [C18 "Party3PresenceRule"](#), [C19 "Party4PresenceRule"](#), [C20 "Party5PresenceRule"](#), [C21 "SettlementChainGuideline"](#)

**ReceivingSideDetails <RcvgSdDtls>** contains the following elements (see "SettlementParties94" on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

#### 66.1.51.9.6 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of delivering settlement parties.

*Impacted by:* [C6 "BookTransferGuideline"](#), [C11 "DepositoryGuideline"](#), [C17 "Party2PresenceRule"](#), [C18 "Party3PresenceRule"](#), [C19 "Party4PresenceRule"](#), [C20 "Party5PresenceRule"](#), [C21 "SettlementChainGuideline"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following elements (see ["SettlementParties94"](#) on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		2406
	Party1 <Pty1>	[0..1]	±		2407
	Party2 <Pty2>	[0..1]	±		2407
	Party3 <Pty3>	[0..1]	±		2407
	Party4 <Pty4>	[0..1]	±		2408
	Party5 <Pty5>	[0..1]	±		2408

**Constraints**

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## 66.1.51.10 ReceiveInformation20

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2684
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2684
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2684
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2685
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2685
	IncomePreference <IncmPref>	[0..1]	CodeSet		2685
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2686
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2686
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2686
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2686
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C1, C13	2686
	StampDuty <StmpDty>	[0..1]	CodeSet		2687
	NetAmount <NetAmt>	[0..1]	Amount	C1, C13	2687
	Fees <Fees>	[0..*]	±	C16	2687
	IndividualTax <IndvTax>	[0..*]	±		2688
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2689
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2690
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2690
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C18	2691
	ClientReference <ClntRef>	[0..1]	±		2691

**Constraints**

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DENT (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

**66.1.51.10.1 Transferee <Trfee>**

*Presence:* [0..1]

*Definition:* Party that receives (transferee) securities from the delivering agent (transferor).

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification139](#)" on page 2117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		2117
	LEI <LEI>	[0..1]	IdentifierSet		2118

**66.1.51.10.2 TransfereeRegisteredAccount <TrfeeRegdAcct>**

*Presence:* [0..1]

*Definition:* Account into which the securities are to be received.

**TransfereeRegisteredAccount <TrfeeRegdAcct>** contains the following elements (see "[Account31](#)" on page 1680 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1680
	AccountName <AcctNm>	[0..1]	Text		1680
	Designation <Dsgnt>	[0..1]	Text		1680
	Servicer <Svcr>	[0..1]	±		1680
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1681

**66.1.51.10.3 IntermediaryInformation <IntrmyInf>**

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.



**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 2115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		2115
	Account <Acct>	[0..1]			2115
	Identification <Id>	[0..1]	Text		2116
	AccountServicer <AcctSvcr>	[1..1]	±		2116
	Role <Role>	[0..1]	±		2116
	ContactPerson <CtctPrsn>	[0..1]	±		2116

#### 66.1.51.10.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2738

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.1.51.10.5 DematerialisedIndicator <Dmtrlslnd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2834):

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

#### 66.1.51.10.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2744

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**66.1.51.10.7 BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>***Presence:* [0..1]*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2713

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**66.1.51.10.8 RequestedTradeDate <ReqdTradDt>***Presence:* [0..1]*Definition:* Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**66.1.51.10.9 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2822**66.1.51.10.10 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1444 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1444
Or}	DateTime <DtTm>	[1..1]	DateTime		1444

**66.1.51.10.11 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument.*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.51.10.12 StampDuty <StmpDty>**

*Presence:* [0..1]

*Definition:* Specifies if whether the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2798

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**66.1.51.10.13 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C1 "ActiveCurrency", C13 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2704

**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.

**66.1.51.10.14 Fees <Fees>**

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C16 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1380 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1381
	IndividualFee <IndvFee>	[0..*]			1381
	Type <Tp>	[1..1]			1382
{Or	Code <Cd>	[1..1]	CodeSet		1382
Or}	Proprietary <Prtry>	[1..1]	±		1383
	Basis <Bsis>	[0..1]			1383
{Or	Code <Cd>	[1..1]	CodeSet		1383
Or}	Proprietary <Prtry>	[1..1]	±		1384
	Amount <Amt>	[1..1]	Amount	C1, C13	1384
	DiscountDetails <DscntDtls>	[0..1]		C13	1384
	Amount <Amt>	[0..1]	Amount	C1, C13	1385
	Rate <Rate>	[0..1]	Rate		1385
	Basis <Bsis>	[0..1]			1385
{Or	Code <Cd>	[1..1]	CodeSet		1386
Or}	Proprietary <Prtry>	[1..1]	±		1386
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1386
	RecipientIdentification <RcptId>	[0..1]	±		1387

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 66.1.51.10.15 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2584 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2585
{Or	Code <Cd>	[1..1]	CodeSet		2585
Or}	Proprietary <Prtry>	[1..1]	±		2586
	Basis <Bsis>	[0..1]			2587
{Or	Code <Cd>	[1..1]	CodeSet		2587
Or}	Proprietary <Prtry>	[1..1]	±		2587
	Amount <Amt>	[1..1]	Amount	C1, C13	2587
	Country <Ctry>	[0..1]	CodeSet	C12	2588
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2588
	ExemptionReason <XmptnRsn>	[0..1]			2588
{Or	Code <Cd>	[1..1]	CodeSet		2588
Or}	Proprietary <Prtry>	[1..1]	±		2591
	RecipientIdentification <RcptId>	[0..1]	±		2591
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2592
	Basis <Bsis>	[0..1]			2592
{Or	Code <Cd>	[1..1]	CodeSet		2592
Or}	Proprietary <Prtry>	[1..1]	±		2592
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C1, C13	2593

#### 66.1.51.10.16 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1554 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C1, C13	1555
	FromAmount <FrAmt>	[0..1]	Amount	C1, C13	1555
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	1555
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	1556
	ExchangeRate <XchgRate>	[1..1]	Rate		1556
	QuotationDate <QtnDt>	[0..1]	DateTime		1556
	QuotingInstitution <QtgInstn>	[0..1]	±		1556

#### 66.1.51.10.17 SettlementPartiesDetails <SttlmPtiesDtIs>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtIs>** contains the following elements (see "[FundSettlementParameters16](#)" on page 2659 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2660
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2660
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2660
	ReceivingSideDetails <RcvgSdDtIs>	[0..1]	±	C6, C11, C17, C18, C19, C20, C21	2660

#### 66.1.51.10.18 PhysicalTransfer <PhysTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* "[PhysicalTransferType1Code](#)" on page 2775

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**66.1.51.10.19 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C18 "NameAndAddress1Rule"**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "[DeliveryParameters4](#)" on page 2329 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrInd>	[1..1]	Indicator		2329
	NameAndAddress <NmAndAdr>	[0..1]	±		2329
	ContactPerson <CtctPrsn>	[0..1]	±		2329

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**66.1.51.10.20 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1568 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1568
	ReferenceIssuer <RefIssr>	[0..1]	±		1568
	MessageName <MsgNm>	[0..1]	Text		1568

**66.1.51.11 TransferType2Choice***Definition:* Choice of formats for a transfer type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2692
Or}	Proprietary <Prtry>	[1..1]	±		2692

**Constraints**

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**66.1.51.11.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Transfer type expressed as a code.

*Datatype:* "TransferType4Code" on page 2816

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

**66.1.51.11.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Transfer type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.52 Transfer Status****66.1.52.1 CancelledStatus13Choice**

*Definition:* Reason for the cancelled status.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2693
Or	Reason <Rsn>	[1..1]	CodeSet		2693
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2693
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2693

#### 66.1.52.1.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

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

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.52.1.2 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled status.

*Datatype:* "CancelledStatusReason3Code" on page 2716

CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

#### 66.1.52.1.3 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled status.

*Datatype:* "Extended350Code" on page 2836

#### 66.1.52.1.4 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the cancelled status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

### 66.1.52.2 FailedSettlementStatus2Choice

*Definition:* Reason for the failed settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2694
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2694
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2694

#### 66.1.52.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the failed settlement status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.52.2.2 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the failed settlement status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.52.2.3 NoSpecifiedReason <NoSpdfdRsn>

*Presence:* [1..1]

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

*Datatype:* "NoReasonCode" on page 2765

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

### 66.1.52.3 CancelledCompleteReason1

*Definition:* Reason for a cancelled completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2695
{Or	Code <Cd>	[1..1]	CodeSet		2695
Or}	Proprietary <Prtry>	[1..1]	±		2695
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2696

#### 66.1.52.3.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled complete status.

**Reason <Rsn>** contains one of the following **CancellationCompleteReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2695
Or}	Proprietary <Prtry>	[1..1]	±		2695

##### 66.1.52.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cancelled complete reason expressed as a code.

*Datatype:* "CancelledStatusReason1Code" on page 2716

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

##### 66.1.52.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cancelled complete reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.52.3.2 AdditionalReasonInformation <AddtlRsnInf>***Presence:* [0..1]*Definition:* Additional information about the cancelled complete status reason.*Datatype:* "Max350Text" on page 2837**66.1.52.4 CancellationPendingStatus7Choice***Definition:* Reason for the cancellation pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2696
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2696
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2696

**66.1.52.4.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the cancellation pending status.*Datatype:* "Max350Text" on page 2837**66.1.52.4.2 DataSourceScheme <DataSrcSchme>***Presence:* [1..1]*Definition:* Proprietary identification of the reason for the cancellation pending status.**DataSourceScheme <DataSrcSchme>** contains the following elements (see "GenericIdentification1" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.52.4.3 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* Indicates that there is no reason available or to report.*Datatype:* "NoReasonCode" on page 2765

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

**66.1.52.5 ReversedStatus2Choice***Definition:* Reason for the reversed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2697
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2697
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2697

#### 66.1.52.5.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the reversal status.

*Datatype:* "Max350Text" on page 2837

#### 66.1.52.5.2 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the reversed status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

#### 66.1.52.5.3 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

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

*Datatype:* "NoReasonCode" on page 2765

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

#### 66.1.52.6 PendingSettlementStatus3Choice

*Definition:* Reason for the pending settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2698
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2699
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2700
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2700

**66.1.52.6.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the settlement pending status.*Datatype:* "PendingSettlementStatusReason2Code" on page 2771

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example, conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.

CodeName	Name	Definition
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

#### 66.1.52.6.2 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the settlement pending status.

*Datatype:* "Extended350Code" on page 2836

**66.1.52.6.3 DataSourceScheme <DataSrcSchme>***Presence:* [1..1]*Definition:* Proprietary identification of the reason for the pending settlement status.**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.52.6.4 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* Indicates that there is no reason available or to report.*Datatype:* "[NoReasonCode](#)" on page 2765

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

**66.1.52.7 TransferCancellationPendingStatus1***Definition:* Transfer cancellation status is in pending.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		2700

**66.1.52.7.1 Reason <Rsn>***Presence:* [0..1]*Definition:* Reason for the cancellation pending status.*Datatype:* "[Max350Text](#)" on page 2837**66.1.52.8 InRepairStatus4Choice***Definition:* Reason for the in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2701
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2701
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2701



**66.1.52.8.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the in-repair status.*Datatype:* "Max350Text" on page 2837**66.1.52.8.2 DataSourceScheme <DataSrcSchme>***Presence:* [1..1]*Definition:* Proprietary identification of the reason for the in-repair status.**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1575 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1575
	SchemeName <SchmeNm>	[0..1]	Text		1575
	Issuer <Issr>	[0..1]	Text		1575

**66.1.52.8.3 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* Indicates that there is no reason available or to report.*Datatype:* "NoReasonCode" on page 2765

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

**66.1.52.9 TransferReason1Choice***Definition:* Choice between formats for a transfer reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2701
Or}	Proprietary <Prtry>	[1..1]	±		2702

**66.1.52.9.1 Code <Cd>***Presence:* [1..1]*Definition:* Transfer reason expressed as an ISO 20022 code.*Datatype:* "TransferReason1Code" on page 2814

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.

CodeName	Name	Definition
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g. investigation required by fiscal authority or police).
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

#### 66.1.52.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transfer reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification27](#)" on page 1561 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1562
	SchemeName <SchmeNm>	[0..1]	Text		1562
	Issuer <Issr>	[1..1]	Text		1562

#### 66.1.52.10 RejectionReason33

*Definition:* Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2703
{Or	Code <Cd>	[1..1]	CodeSet		2703
Or}	Proprietary <Prtry>	[1..1]	±		2703
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2703

**66.1.52.10.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the rejected status.**Reason <Rsn>** contains one of the following **RejectedReason17Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2703
Or}	Proprietary <Prtry>	[1..1]	±		2703

**66.1.52.10.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Rejected reason expressed as a code.*Datatype:* "CancellationRejectedReason1Code" on page 2715

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

**66.1.52.10.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Rejected reason expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1573
	Issuer <Issr>	[1..1]	Text		1573
	SchemeName <SchmeNm>	[0..1]	Text		1573

**66.1.52.10.2 AdditionalReasonInformation <AddtlRsnInf>***Presence:* [0..1]*Definition:* Additional information about the rejected status reason.*Datatype:* "Max350Text" on page 2837

## 66.2 Message Datatypes

### 66.2.1 Amount

#### 66.2.1.1 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 2711

#### 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.

#### 66.2.1.2 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 2711

#### 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.

**66.2.1.3 ActiveOrHistoricCurrencyAnd13DecimalAmount**

*Definition:* A number of monetary units specified in an active or a historic 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	"ActiveOrHistoricCurrencyCode" on page 2711

**Format**

minInclusive	0
totalDigits	18
fractionDigits	13

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**66.2.1.4 ActiveOrHistoricCurrencyAndAmount**

*Definition:* A number of monetary units specified in an active or a historic 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	"ActiveOrHistoricCurrencyCode" on page 2711

**Format**

minInclusive	0
totalDigits	18
fractionDigits	5

**Constraints**

- ActiveOrHistoricCurrency**  
The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be 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.

**66.2.1.5 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

**66.2.2 CodeSet**

**66.2.2.1 AcceptedStatusReason1Code**

*Definition:* Specifies the reason for an accepted status.

*Type:* CodeSet

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

**66.2.2.2 AccountingStatus1Code**

*Definition:* Specifies the accounting status.

*Type:* CodeSet

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

**66.2.2.3 AccountManagementStatus1Code**

*Definition:* Specifies the status of an account management instruction.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.

**66.2.2.4 AccountManagementType2Code**

*Definition:* Refer to an account management instruction ie, either an account opening instruction or an account modification instruction or a get account details message.

*Type:* CodeSet

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

**66.2.2.5 AccountManagementType3Code**

*Definition:* Specifies the instruction for which an status is required.

*Type:* CodeSet

CodeName	Name	Definition
ACCM	AccountModification	Refers to an account modification instruction message.
ACCO	AccountOpening	Refers to an account opening instruction message.

CodeName	Name	Definition
GACC	GetAccountDetails	Refers to a get account details message.
ACST	AccountStatus	Refers to the account status.

#### 66.2.2.6 AccountOpeningType1Code

*Definition:* Specifies the type of account to which an account opening request is related, eg, a new account.

*Type:* CodeSet

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

#### 66.2.2.7 AccountOwnershipType4Code

*Definition:* Specifies the type of account ownership.

*Type:* CodeSet

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.



CodeName	Name	Definition
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

### 66.2.2.8 AccountOwnershipType6Code

*Definition:* Specifies the type of account ownership.

*Type:* CodeSet

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more

CodeName	Name	Definition
		individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	Person having the temporary right to use and derive income or benefit from someone else's property.

### 66.2.2.9 AccountStatusUpdateInstruction1Code

*Definition:* Specifies the type of account status update instructed.

*Type:* CodeSet

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

#### 66.2.2.10 AccountStatusUpdateRequestReason1Code

*Definition:* Sepcifies the reason for a request for a change to an account status.

*Type:* CodeSet

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

#### 66.2.2.11 AccountUsageType2Code

*Definition:* Specifies the type of usage of the account.

*Type:* CodeSet

CodeName	Name	Definition
INVE	Investor	Investor.
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

#### 66.2.2.12 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.

#### 66.2.2.13 ActiveOrHistoricCurrencyCode

*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

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 66.2.2.14 AddressType1Code

*Definition:* Specifies the type of address.

Type: CodeSet

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

### 66.2.2.15 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.

### 66.2.2.16 AnnualChargePaymentType1Code

*Definition:* Specifies how a charge is to be deducted.

Type: CodeSet

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

**66.2.2.17 ApplicableRules1Code**

*Definition:* Specifies applicable rules.

*Type:* CodeSet

CodeName	Name	Definition
NPPE	NotPreADay	Pre A Day rules do not apply.
YPPE	PreADay	Pre A Day rules applies.

**66.2.2.18 AssessmentOfValueRequiredUnderCOLLUKType1Code**

*Definition:* Specifies if assessment of value is required under UK Collective Investment Schemes. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09040.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	Yes	Assesment of value is required.
NSCO	No	Assesment of value is not required.

**66.2.2.19 BeneficiaryCertificationCompletion1Code**

*Definition:* Specifies the type of certification completion required for a beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**66.2.2.20 BeneficiaryType1Code**

*Definition:* Specifies a type of beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

**66.2.2.21 BestExecution1Code**

*Definition:* Specifies whether best execution rules as defined in the EU MiFID directive were followed for a transaction.

*Type:* CodeSet

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 66.2.2.22 BlockedReason2Code

*Definition:* Specifies the reason an account is blocked.

*Type:* CodeSet

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

#### 66.2.2.23 BusinessDayConvention1Code

*Definition:* Indicates how a date is adjusted when it falls on a non-business day.

*Type:* CodeSet

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 66.2.2.24 BusinessFlowDirectionType1Code

*Definition:* Identifies the business flow, in order to determine the role of the parties in the business process. This indicator is very important when there are multiple intermediaries in the exchange of information process.

*Type:* CodeSet

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

#### 66.2.2.25 BusinessFlowType1Code

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

*Type:* CodeSet

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

#### 66.2.2.26 CalculationBasis2Code

*Definition:* Specifies the calculation basis.

*Type:* CodeSet

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

#### 66.2.2.27 CancellationRejectedReason1Code

*Definition:* Specifies the reason for a cancellation rejected status.

*Type:* CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

#### 66.2.2.28 CancellationRight1Code

*Definition:* Specifies if the investor has the right to cancel an instruction or, if not, the reason the investor cannot cancel.

*Type:* CodeSet

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

**66.2.2.29 CancellationStatus5Code**

*Definition:* Specifies the cancellation status.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

**66.2.2.30 CancelledStatusReason1Code**

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

**66.2.2.31 CancelledStatusReason2Code**

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

**66.2.2.32 CancelledStatusReason3Code**

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet



CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

### 66.2.2.33 CardType1Code

*Definition:* Specifies the type of payment card.

*Type:* CodeSet

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

### 66.2.2.34 CashAccountType5Code

*Definition:* Specifies the type of cash account.

*Type:* CodeSet

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

### 66.2.2.35 CashAssetType1Code

*Definition:* Specifies a source of the cash asset.

*Type:* CodeSet

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

### 66.2.2.36 CertificateType2Code

*Definition:* Specifies the type of certificate.

*Type:* CodeSet

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCU	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.
PASS	Passport	Government issued form of picture identification - passport.
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

### 66.2.2.37 ChargeBearer1Code

*Definition:* Specifies which party(ies) will pay charges due for processing of the payment transaction.

*Type:* CodeSet

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

### 66.2.2.38 ChargePaymentMethod1Code

*Definition:* Specifies how expenses are paid.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

### 66.2.2.39 ChargeType12Code

*Definition:* Type of service for which a charge is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

#### 66.2.2.40 ChargeType9Code

*Definition:* Specifies the type of service for which a charge is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQU	Equalisation	The part of an investor's subscription amount that is held by the fund in order

CodeName	Name	Definition
		to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 66.2.2.41 CivilStatus1Code

*Definition:* Specifies the civil status of a person.

*Type:* CodeSet

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

#### 66.2.2.42 ClosedStatusReason1Code

*Definition:* Specifies the reason for the closed status.

*Type:* CodeSet

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

#### 66.2.2.43 ClosurePendingStatusReason1Code

*Definition:* Specifies the reason for the closure pending status.

*Type:* CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

#### 66.2.2.44 Collateral1Code

*Definition:* Specifies whether the item is used as collateral.

*Type:* CodeSet

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 66.2.2.45 CommissionType6Code

*Definition:* Specifies the type of investment fund commission.

*Type:* CodeSet

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

#### 66.2.2.46 CommunicationMethod1Code

*Definition:* Communication method used for the transmission of documents.

*Type:* CodeSet

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

#### 66.2.2.47 CompanyLink1Code

*Definition:* Specifies the type of links to a company.

*Type:* CodeSet

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

CodeName	Name	Definition
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).
PCOM	ParentCompany	Parent company of the broker.
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

#### 66.2.2.48 ConditionallyAcceptedStatusReason2Code

*Definition:* Specifies the reason for a conditionally accepted status.

*Type:* CodeSet

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

#### 66.2.2.49 ConductClassification1Code

*Definition:* Specifies the classification of the conduct.

*Type:* CodeSet

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

**66.2.2.50 ConfirmationCancellationReason1Code**

*Definition:* Specifies the reason why a confirmation is cancelled.

*Type:* CodeSet

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.

CodeName	Name	Definition
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

### 66.2.2.51 ConsolidationType1Code

*Definition:* Specifies the consolidation type.

*Type:* CodeSet

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

### 66.2.2.52 CorporateActionEventType1Code

*Definition:* Specifies the type of corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is not offered a choice in the form of distribution.
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on



CodeName	Name	Definition
		preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically represented by shares, rights or warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.

CodeName	Name	Definition
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation.  It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital pay-out to shareholder.

### 66.2.2.53 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).

**66.2.2.54 CreditDebit3Code**

*Definition:* Specifies if an operation is an increase or a decrease.

*Type:* CodeSet

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

**66.2.2.55 CreditDebitCode**

*Definition:* Specifies if an operation is an increase or a decrease.

*Type:* CodeSet

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

**66.2.2.56 CRSFormType1Code**

*Definition:* Specifies the type of Common Reporting Standard (CRS) form.

*Type:* CodeSet

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.
CER7	Standardised	Standardised industry coding system for the entity.

**66.2.2.57 CRSSourceStatus1Code**

*Definition:* Specifies the source of Common Reporting Standard (CRS) status.

Type: CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

### 66.2.2.58 CRSStatus1Code

*Definition:* Specifies the Common Reporting Status (CRS) status.

Type: CodeSet

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depositary, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.

CodeName	Name	Definition
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

### 66.2.2.59 CurrencyDesignation1Code

*Definition:* Specifies whether a currency is settled offshore or onshore.

*Type:* CodeSet

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

### 66.2.2.60 DataModification1Code

*Definition:* Specified the type of modification to be applied on a data set.

*Type:* CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 66.2.2.61 DataModification2Code

*Definition:* Specified the type of modification to be applied on a data set.

*Type:* CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 66.2.2.62 DeliveryReceiptType2Code

*Definition:* Specifies how the transaction is to be settled.

*Type:* CodeSet

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

### 66.2.2.63 DisabledReason2Code

*Definition:* Specifies the reason an account is disabled.

*Type:* CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

### 66.2.2.64 DistributionPolicy1Code

*Definition:* Specifies if income is to be paid out (distributed) or retained (accumulated).

*Type:* CodeSet

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 66.2.2.65 DividendPolicy1Code

*Definition:* Specifies the dividend policy of the financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.

CodeName	Name	Definition
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

#### 66.2.2.66 DrawdownStatus1Code

*Definition:* Specifies a drawdown status.

*Type:* CodeSet

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

#### 66.2.2.67 DrawdownType2Code

*Definition:* Specifies a type of drawdown.

*Type:* CodeSet

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

#### 66.2.2.68 Eligible1Code

*Definition:* Specifies whether the item is eligible or not eligible.

*Type:* CodeSet

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 66.2.2.69 EMTDataReportingVFMUKType1Code

*Definition:* Specifies if the value for money section is filled in the current EMT posting. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09030.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	Yes	Value for money data is being provided.

#### 66.2.2.70 EnabledStatusReason1Code

*Definition:* Specifies the reason for an enabled status.

*Type:* CodeSet

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.

#### 66.2.2.71 EqualisationMethodologyType1Code

*Definition:* Methodology used for the allocation of the performance fees.

*Type:* CodeSet

CodeName	Name	Definition
COLI	ContingentLiquidation	Mandatory redemption of units processed either at redemption or crystallization, whose proceeds are due to the asset manager as performance fee. Performance fee to be paid by the investor when the value of the investment fund units were below their applicable high-watermark on subscription date, and above the high-watermark on redemption date.
DDEP	DepreciationDeposit	Performance fee to be paid by the investor when the net asset value reaches the high-watermark if the net asset value was under the high-watermark on subscription date.
EQCR	EqualisationCredit	Prepayment amount to be paid by the investor at the moment of the subscription. The amount is based on the positive difference between the gross asset value at subscription and the high-watermark, when the investment fund units are subscribed to above their high-watermark.

#### 66.2.2.72 EUCapitalGain2Code

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June) for an income realised upon sale, a refund or redemption of shares and units etc.

*Type:* CodeSet

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 66.2.2.73 EUDividendStatus1Code

*Definition:* Specifies whether the dividend is in the scope of the European directive on taxation of savings income in the form of interest payments.

*Type:* CodeSet



CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

#### 66.2.2.74 EUSavingsDirective1Code

*Definition:* Indicates whether or not the fund is subject to reporting under the EU Savings Directive. Enter "Variable" if the status of the fund is likely to change from time to time.

*Type:* CodeSet

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

#### 66.2.2.75 EventFrequency10Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

#### 66.2.2.76 EventFrequency1Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.

CodeName	Name	Definition
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

### 66.2.2.77 EventFrequency5Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

### 66.2.2.78 EventFrequency8Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.

CodeName	Name	Definition
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

### 66.2.2.79 EventFrequency9Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

### 66.2.2.80 ExPostCostCalculationBasis1Code

*Definition:* Specifies a basis for ex post calculations.

*Type:* CodeSet

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

#### 66.2.2.81 ExternalAccountIdentification1Code

*Definition:* Specifies the external account 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](http://www.iso20022.org).

*Type:* CodeSet

##### Format

minLength	1
maxLength	4

#### 66.2.2.82 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](http://www.iso20022.org).

*Type:* CodeSet

##### Format

minLength	1
maxLength	4

#### 66.2.2.83 FATCAFormType1Code

*Definition:* Specifies the type of Foreign Account Tax Compliance Act (FATCA) form.

*Type:* CodeSet

CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).

CodeName	Name	Definition
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

#### 66.2.2.84 FATCASSourceStatus1Code

*Definition:* Specifies the source of Foreign Account Tax Compliance Act (FATCA) status.

*Type:* CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

#### 66.2.2.85 FATCAStatus1Code

*Definition:* Specifies the Foreign Account Tax Compliance Act (FATCA) status.

*Type:* CodeSet

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).
F103	FATCA103	Account holder type is a non-participating financial institution.
F104	FATCA104	Account holder type is a specified US person.
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.

CodeName	Name	Definition
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

#### 66.2.2.86 FinancialAdvice1Code

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 66.2.2.87 FlowDirectionType1Code

*Definition:* Specifies the direction of a cash flow.

*Type:* CodeSet

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

#### 66.2.2.88 FormOfSecurity1Code

*Definition:* Form of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 66.2.2.89 FundCashAccount2Code

*Definition:* Specifies the cash account type.

*Type:* CodeSet

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

#### 66.2.2.90 FundCashAccount4Code

*Definition:* Specifies the account type.

*Type:* CodeSet

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

#### 66.2.2.91 FundIntention1Code

*Definition:* Specifies if the fund is intended for qualified investors.

*Type:* CodeSet

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

#### 66.2.2.92 FundOrderType10Code

*Definition:* Specifies a type of investment fund transaction.

Type: CodeSet

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

### 66.2.2.93 FundOrderType5Code

*Definition:* Specifies the category of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

### 66.2.2.94 FundOrderType8Code

*Definition:* Specifies the category of the investment fund order.

Type: CodeSet

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).



CodeName	Name	Definition
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

#### 66.2.2.95 FundOwnership1Code

*Definition:* Specifies if all the shares are owned exclusively by the fund company.

*Type:* CodeSet

CodeName	Name	Definition
YALL	AllOwned	All shares owned.
NALL	NotAllOwned	Not all shares owned.

#### 66.2.2.96 FundPaymentType1Code

*Definition:* Specifies a type of payment instrument.

*Type:* CodeSet

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

#### 66.2.2.97 GateHoldBack1Code

*Definition:* Specifies the type of hold back on redemption proceeds.

*Type:* CodeSet

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

#### 66.2.2.98 GDPRDataConsent1Code

*Definition:* Consent type in the context of the General Protection Regulation (GDPR) 2016/679 regulation.

*Type:* CodeSet

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

#### 66.2.2.99 Gender1Code

*Definition:* Specifies the gender of a person.

*Type:* CodeSet

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

##### Restricts

"GenderCode" on page 2742

#### 66.2.2.100 GenderCode

*Definition:* Specifies the gender of a person.

*Type:* CodeSet

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

##### Is restricted by

"Gender1Code" on page 2742

#### 66.2.2.101 GeneralInvestmentAccountType2Code

*Definition:* Specifies a type of investment account.

*Type:* CodeSet

CodeName	Name	Definition
ANYY	Any	Any type of general investment account.
EQUI	ShareSavingsAccount	General shares or equity savings account.

### 66.2.2.102 GovernanceProcessType1Code

*Definition:* Specifies a type of governance process.

*Type:* CodeSet

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

### 66.2.2.103 HolderType1Code

*Definition:* Specifies a type of holder.

*Type:* CodeSet

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

### 66.2.2.104 Holding1Code

*Definition:* Specifies how the holding is blocked.

*Type:* CodeSet

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.
PRTH	PartialHolding	Partial holding.

### 66.2.2.105 HoldingsPlanType1Code

*Definition:* Specifies the holdings plan of the assets to transfer.

*Type:* CodeSet

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

#### 66.2.2.106 HoldingTransferable1Code

*Definition:* Indicate whether or not registered investors are able to transfer some or all of their holdings to third parties.

*Type:* CodeSet

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### 66.2.2.107 IncomePreference1Code

*Definition:* Specifies the options for distribution of dividend income.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 66.2.2.108 IncomePreference2Code

*Definition:* Specifies the options for distribution of dividend income.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 66.2.2.109 InformationDistribution2Code

*Definition:* Specifies how information is to be distributed.

*Type:* CodeSet

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

**66.2.2.110 InRepairStatusReason1Code**

*Definition:* Specifies the reason for a In Repair status.

*Type:* CodeSet

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

**66.2.2.111 Insurance1Code**

*Definition:* Specifies the type of insurance.

*Type:* CodeSet

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

**66.2.2.112 IntendedOrActual2Code**

*Definition:* Specifies if a charge or cost is intended (ex ante) or actual (post ante).

*Type:* CodeSet

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

**66.2.2.113 InvestmentAccountCategory1Code**

*Definition:* Specifies the investment account category.

*Type:* CodeSet

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

**66.2.2.114 InvestmentFundFee1Code**

*Definition:* Specifies the type of service for which a fee e is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

### 66.2.2.115 InvestmentFundFee2Code

*Definition:* Type of service for which a charge is asked or paid.

Type: CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

#### 66.2.2.116 InvestmentFundMiFIDFee2Code

Definition: Specifies a type of cost or charge.

Type: CodeSet

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by

CodeName	Name	Definition
		the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and



CodeName	Name	Definition
		is expressed as a percentage of the NAV. Includes performance fees and other costs.
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025. This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT)

CodeName	Name	Definition
		reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined

CodeName	Name	Definition
		by the fund or fund management company. This is indicative and should be adapted by the distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the one-off maximum exit cost EMT reference 07050.
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	<p>One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the 'normal' fees if the client holds the product until maturity or during the RHP.</p> <p>Example: a product with a 5 year maturity has exit costs of:</p> <ul style="list-style-type: none"> <li>- 4% after 1 and 2 years</li> <li>- 3% after 3 years</li> <li>- 1% after 4 years</li> <li>- 0 at maturity</li> </ul> <p>Then maximum exit cost: 4%.</p> <p>Typical cost : 0</p>

CodeName	Name	Definition
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

### 66.2.2.117 InvestmentFundPlanType1Code

*Definition:* Specifies a type of investment fund plan.

*Type:* CodeSet

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

### 66.2.2.118 InvestmentFundRole2Code

*Definition:* Specifies the role played by an actor in an investment fund transaction.

*Type:* CodeSet

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund.

CodeName	Name	Definition
		This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 66.2.2.119 InvestmentFundRole6Code

*Definition:* Specifies the role of the party.

*Type:* CodeSet

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary

CodeName	Name	Definition
		receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 66.2.2.120 InvestmentFundRole7Code

*Definition:* Specifies the role of the party.

*Type:* CodeSet

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.



CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

### 66.2.2.121 InvestmentFundRole8Code

*Definition:* Specifies the role of the party.

*Type:* CodeSet

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the

CodeName	Name	Definition
		objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.

### 66.2.2.122 InvestmentFundTransactionInType1Code

*Definition:* Specifies the type of investment fund transaction that results in a cash movement into a fund.

*Type:* CodeSet

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

### 66.2.2.123 InvestmentFundTransactionOutType1Code

*Definition:* Specifies the type of investment fund transaction that results in a cash movement out of a fund.

*Type:* CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

### 66.2.2.124 InvestmentFundTransactionType1Code

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.
INSP	InSpecie	Transaction is an InSpecie.
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

### 66.2.2.125 InvestmentNeed2Code

*Definition:* Specifies an investment need.

*Type:* CodeSet

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

**66.2.2.126 InvestorProfileStatus1Code**

*Definition:* Specifies the status of the investor profile.

*Type:* CodeSet

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

**66.2.2.127 InvestorType2Code**

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

**66.2.2.128 InvestorType3Code**

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

**66.2.2.129 InvestorType4Code**

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

**66.2.2.130 KnowYourCustomerCheckType1Code**

*Definition:* Specifies the type of Know Your Customer (KYC) or anti-money laundering due diligence to which the investor has been subjected.

*Type:* CodeSet

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

**66.2.2.131 LanguageCode**

*Definition:* Specifies a language.

*Type:* CodeSet

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**66.2.2.132 LateReport1Code**

*Definition:* Specifies whether a transaction report is late.

*Type:* CodeSet

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**66.2.2.133 LevelOfControl1Code***Definition:* Specifies the level of control.*Type:* CodeSet

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.
VIEW	View	Account may be viewed only.

**66.2.2.134 Liability1Code***Definition:* Specifies the party responsible for the liability.*Type:* CodeSet

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

**66.2.2.135 LumpSumType1Code***Definition:* Specifies a type of lump sum.*Type:* CodeSet

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.

**66.2.2.136 MailType1Code***Definition:* Specifies the type of mail service.*Type:* CodeSet

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

**66.2.2.137 MessageRejectedReason1Code***Definition:* Specifies the reason for a message rejected status.*Type:* CodeSet

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.

CodeName	Name	Definition
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

### 66.2.2.138 MoneyLaunderingCheck1Code

*Definition:* Specifies the status of money laundering identification procedures.

*Type:* CodeSet

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

### 66.2.2.139 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.

### 66.2.2.140 NationalityCode

*Definition:* Specifies the country where a person was born or is naturalised.



Type: CodeSet

#### Constraints

- **ValidationByTable**

Must be a valid nationality.

### 66.2.2.141 NegotiatedTrade1Code

*Definition:* Specifies whether the trade is negotiated.

Type: CodeSet

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

### 66.2.2.142 NoCriteria1Code

*Definition:* Specifies that there is no criteria.

Type: CodeSet

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

### 66.2.2.143 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.

### 66.2.2.144 NotionalOrUnitBased1Code

*Definition:* Specifies the unit basis of a financial instrument.

Type: CodeSet

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

### 66.2.2.145 OperationalStatus1Code

*Definition:* Specifies the operational status.

Type: CodeSet

CodeName	Name	Definition
ENAB	Enabled	Enabled.
SPEC	SpecialCircumstances	Special circumstances.

#### 66.2.2.146 OrderCancellationStatus2Code

*Definition:* Specifies the current status of the order cancellation request.

*Type:* CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

#### 66.2.2.147 OrderConfirmationStatus1Code

*Definition:* Specifies the current status of an order confirmation or of an order confirmation amendment.

*Type:* CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

#### 66.2.2.148 OrderOriginatorEligibility1Code

*Definition:* Specifies the type of the counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Type:* CodeSet

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

### 66.2.2.149 OrderQuantityType2Code

*Definition:* Specifies how the order is placed, eg by quantity of units or by amount of money.

*Type:* CodeSet

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

### 66.2.2.150 OrderStatus4Code

*Definition:* Specifies the current status of the order.

*Type:* CodeSet

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.

CodeName	Name	Definition
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

### 66.2.2.151 OrderWaiverReason1Code

*Definition:* Relates to non-standard orders, to handle them differently, probably in a manual fashion.

*Type:* CodeSet

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

### 66.2.2.152 OrganisationType1Code

*Definition:* Specifies a type of organisation.

*Type:* CodeSet

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

### 66.2.2.153 OtherAmountType1Code

*Definition:* Type of other amount.

*Type:* CodeSet

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

### 66.2.2.154 OtherAsset2Code

*Definition:* Specifies a type of asset.

*Type:* CodeSet

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

#### 66.2.2.155 OtherReviewRelatedToValueAndOrChargesUKType1Code

*Definition:* Specifies the outcome of other review about fair value and/or charges. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09070.

*Type:* CodeSet

CodeName	Name	Definition
REVA	ESMA	In line with the ESMA supervisory briefing on the supervision of costs in UCITS and AIFs or relevant NCA supervisory activity.
REVO	Other	In line with other local requirements or procedures.

#### 66.2.2.156 OutcomeOfCOLLAssessmentOfValueUKType1Code

*Definition:* Specifies whether charges are justified based on the COLL assessment. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09050.

*Type:* CodeSet

CodeName	Name	Definition
COL1	ChargesJustified	Charges are justified based on assessment and any action identified or, where the first assessment is not yet due, based on initial product design.
COL2	ChargesNotJustified	Charges are not justified, significant action is required.

#### 66.2.2.157 OutcomeOfPRINValueAssessmentOrReviewUKType1Code

*Definition:* Specifies the outcome of PRIN value assessment or review about fair value of product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 09060.

*Type:* CodeSet

CodeName	Name	Definition
PRI2	ChangesRequired	Review indicates significant changes are required in order to provide fair value.
PRI1	FairValue	Product expected to provide fair value for a reasonably foreseeable period.

**66.2.2.158 PartyIdentificationType7Code**

*Definition:* Specifies an alternative identification of a party, for example, national registration identification number, passport number, tax identification number.

*Type:* CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
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.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

**66.2.2.159 PartyRole1Code**

*Definition:* Specifies the role of the party in the transaction.

*Type:* CodeSet

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

### 66.2.2.160 PendingOpeningStatusReason1Code

*Definition:* Specifies the reason for a pending account opening status.

*Type:* CodeSet

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

### 66.2.2.161 PendingSettlementStatusReason2Code

*Definition:* Specifies the reason for a transfer or settlement instruction settlement pending status.

*Type:* CodeSet

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example, conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.

CodeName	Name	Definition
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.



CodeName	Name	Definition
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

#### 66.2.2.162 PendingStatusReason1Code

*Definition:* Specifies the reason for a pending status.

*Type:* CodeSet

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

#### 66.2.2.163 PensionOrderType1Code

*Definition:* Specifies a type of order attached to a pension.

*Type:* CodeSet

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)

CodeName	Name	Definition
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

### 66.2.2.164 PensionSchemeType3Code

*Definition:* Specifies a type of pension scheme.

*Type:* CodeSet

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.

CodeName	Name	Definition
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.
NWRP	NonWrapperPension	Indicates that the party does not operate the pension wrapper.

### 66.2.2.165 PensionTransferScope1Code

*Definition:* Specifies the scope of a pension transfer.

*Type:* CodeSet

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

### 66.2.2.166 PersonIdentificationType7Code

*Definition:* Specifies a type of tax reference.

*Type:* CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

### 66.2.2.167 PhysicalTransferType1Code

*Definition:* Specifies whether the financial instrument is to be physically delivered or is a dematerialised transfer.

*Type:* CodeSet

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

### 66.2.2.168 PlanStatus1Code

*Definition:* Specifies the status of a plan.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.

CodeName	Name	Definition
SUSP	Suspended	Plan is suspended.

### 66.2.2.169 PoliticalExposureType2Code

*Definition:* Specifies the political exposure type.

*Type:* CodeSet

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

### 66.2.2.170 PoliticallyExposedPersonStatus1Code

*Definition:* Status of a politically exposed person.

*Type:* CodeSet

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

**66.2.2.171 PortfolioWithdrawalReason1Code**

*Definition:* Specifies a reason for a withdrawal from the investment product.

*Type:* CodeSet

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

**66.2.2.172 PositionEffect3Code**

*Definition:* Specifies the order in which events are processed.

*Type:* CodeSet

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**66.2.2.173 PriceMethod1Code**

*Definition:* Specifies the type of pricing calculation method.

*Type:* CodeSet

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**66.2.2.174 PriceReportFunction1Code**

*Definition:* Specifies the function of the price report.

*Type:* CodeSet

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

**66.2.2.175 PriceSource1Code**

*Definition:* Indicates the source of a price quotation.

*Type:* CodeSet

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.

**66.2.2.176 PriceValueType2Code**

*Definition:* Specifies a type of value of the price.

*Type:* CodeSet

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

**66.2.2.177 ProductStructure1Code**

*Definition:* Specifies the structure of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.

CodeName	Name	Definition
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

### 66.2.2.178 ProfileType1Code

*Definition:* Specifies the type of profile.

*Type:* CodeSet

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

### 66.2.2.179 ProformaStatusReason1Code

*Definition:* Specifies the reason for proforma status.

*Type:* CodeSet

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

### 66.2.2.180 Provided1Code

*Definition:* Specifies whether items have been provided.

*Type:* CodeSet

CodeName	Name	Definition
NPRO	NotProvided	Not provided.

CodeName	Name	Definition
PROV	Provided	Provided.

### 66.2.2.181 QuotationType1Code

*Definition:* Specifies the type of quotation.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.
PRCT	Percentage	Quotation is expressed as percentage.

### 66.2.2.182 Rank1Code

*Definition:* Specifies the rank of an element (party, market) in a specific environment.

*Type:* CodeSet

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

### 66.2.2.183 RedemptionCompletion1Code

*Definition:* Specifies the redemption status of the redemption order.

*Type:* CodeSet

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

### 66.2.2.184 Referred1Code

*Definition:* Indicates if the investor was referred.

*Type:* CodeSet

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.



CodeName	Name	Definition
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

### 66.2.2.185 ReferToFundOrderDesk1Code

*Definition:* Indicates that the operation is only possible in restricted circumstances.

*Type:* CodeSet

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

### 66.2.2.186 RejectedConfirmationStatusReason1Code

*Definition:* Specifies the reason for a confirmation rejected status.

*Type:* CodeSet

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.

CodeName	Name	Definition
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.

CodeName	Name	Definition
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

### 66.2.2.187 RejectedStatusReason11Code

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.

CodeName	Name	Definition
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.

CodeName	Name	Definition
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

### 66.2.2.188 RejectedStatusReason12Code

*Definition:* Specifies the reason for a transfer or settlement instruction rejected status.

*Type:* CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.

CodeName	Name	Definition
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.

CodeName	Name	Definition
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

### 66.2.2.189 RejectedStatusReason13Code

*Definition:* Specifies the reason for a transfer or settlement instruction rejected status.

*Type:* CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.



CodeName	Name	Definition
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.

CodeName	Name	Definition
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, for example, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, for example, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
NCMP	NotCompliantWithMarketPractice	Instruction is not compliant with the relevant market practice.

**66.2.2.190 RejectedStatusReason6Code**

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

**66.2.2.191 RejectedStatusReason8Code**

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
LEGL	LegallyImpossible	Legally impossible to cancel.

**66.2.2.192 ResidentialStatus1Code**

*Definition:* Specifies the residential status of an individual.

*Type:* CodeSet

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

**66.2.2.193 RestrictionStatus1Code**

*Definition:* Specifies the status of a restriction.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

**66.2.2.194 ReversalCode**

*Definition:* Specifies if an operation is the result of a reversal operation.

*Type:* CodeSet

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

### 66.2.2.195 RiskLevel1Code

*Definition:* Specifies the risk level.

*Type:* CodeSet

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

### 66.2.2.196 RoundingDirection1Code

*Definition:* Specifies the rounding direction.

*Type:* CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

### 66.2.2.197 RoundingDirection2Code

*Definition:* Specifies the rounding direction applied to nearest unit.

*Type:* CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

### 66.2.2.198 SafekeepingPlace1Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.

CodeName	Name	Definition
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

### 66.2.2.199 SafekeepingPlace2Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

### 66.2.2.200 SecuritiesAccountPurposeType1Code

*Definition:* Specifies the purpose of the securities account.

*Type:* CodeSet

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.
PHYS	Physical	Account is used for physical domestic safekeeping.

### 66.2.2.201 SecuritiesBalanceType1Code

*Definition:* Specifies the nature of the securities or investment fund balance.

*Type:* CodeSet

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxy, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.

CodeName	Name	Definition
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

### 66.2.2.202 SecuritiesBalanceType2Code

*Definition:* Specifies the nature of the securities or investment fund balance.

*Type:* CodeSet

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

### 66.2.2.203 SettledStatusReason2Code

*Definition:* Partial settlement status information or information about gating.

*Type:* CodeSet

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.

CodeName	Name	Definition
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

#### 66.2.2.204 SettlementDate1Code

*Definition:* Indicates the date of settlement in coded form.

*Type:* CodeSet

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

#### 66.2.2.205 SettlementInstructionReason1Code

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.



CodeName	Name	Definition
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

### 66.2.2.206 SettlementTransactionCondition11Code

*Definition:* Specifies the conditions under which a order/trade is to be settled.

*Type:* CodeSet

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

### 66.2.2.207 SignatureType1Code

*Definition:* Type of signature form.

*Type:* CodeSet

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

### 66.2.2.208 SignatureType2Code

*Definition:* Type of signature.

*Type:* CodeSet

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

**66.2.2.209 SourceOfCash1Code**

*Definition:* Specifies the origin of cash.

*Type:* CodeSet

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

**66.2.2.210 StampDutyType2Code**

*Definition:* Specifies if the stamp duty is applicable.

*Type:* CodeSet

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**66.2.2.211 StatementBasis1Code**

*Definition:* Specifies the type of balances on which the statement is prepared.

*Type:* CodeSet

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.

CodeName	Name	Definition
TRAD	Traded	The statement is based on trade date positions.

#### 66.2.2.212 StatementUpdateTypeCode

*Definition:* Specifies the nature of a statement update, eg, it is a complete statement.

*Type:* CodeSet

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 66.2.2.213 SuspendedStatusReason3Code

*Definition:* Specifies the reason for a suspended status.

*Type:* CodeSet

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

#### 66.2.2.214 SustainabilityPreferences2Code

*Definition:* Specifies whether the product is compatible with investors that have sustainability preferences.

*Type:* CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

#### 66.2.2.215 TargetMarket1Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 66.2.2.216 TargetMarket2Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

### 66.2.2.217 TargetMarket3Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

### 66.2.2.218 TaxableIncomePerShareCalculated2Code

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Type:* CodeSet

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

### 66.2.2.219 TaxationBasis2Code

*Definition:* Specifies the tax basis.

*Type:* CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

### 66.2.2.220 TaxationBasis5Code

*Definition:* Specifies the tax or charge basis.

*Type:* CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.

CodeName	Name	Definition
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

### 66.2.2.221 TaxEfficientProductType2Code

*Definition:* Specifies a type of tax efficient product.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringssparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNFI	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

### 66.2.2.222 TaxExemptReason1Code

*Definition:* Specifies the reason a specific tax has not been levied/deducted on a given transaction.

Type: CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).

CodeName	Name	Definition
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

### 66.2.2.223 TaxExemptReason3Code

*Definition:* Specifies the reason a specific tax has not been levied/deducted on a given transaction.

*Type:* CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.



CodeName	Name	Definition
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).

CodeName	Name	Definition
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when

CodeName	Name	Definition
		a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.

CodeName	Name	Definition
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

### 66.2.2.224 TaxType12Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

### 66.2.2.225 TaxType16Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.

CodeName	Name	Definition
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.

### 66.2.2.226 TaxType17Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.

CodeName	Name	Definition
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

### 66.2.2.227 TaxWithholdingMethod3Code

*Definition:* Specifies the method by which the tax on the interests is to be processed i.e. either withheld at source or reported to tax authorities or a tax certificate has been provided by the beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 66.2.2.228 TaxWrapperAmountType1Code

*Definition:* Specifies a type of amount.

*Type:* CodeSet

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

#### 66.2.2.229 TimeFrame2Code

*Definition:* Specifies a time frame.

*Type:* CodeSet

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

**66.2.2.230 TradeTransactionCondition5Code**

*Definition:* Specifies the conditions under which the order/trade is to be/was executed.

*Type:* CodeSet

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

**66.2.2.231 TradingCapacity8Code**

*Definition:* Specifies the role of a trading party in a transaction.

*Type:* CodeSet

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

**66.2.2.232 TransactionChannel2Code**

*Definition:* Specifies the type of communication channel.

*Type:* CodeSet

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.
BRAN	OfficeOrBranch	Office or branch.

**66.2.2.233 TransactionStatus1Code**

*Definition:* Specifies the processing status of an investment fund transaction.

*Type:* CodeSet

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

**66.2.2.234 TransactionType2Code**

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.



CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

#### 66.2.2.235 TransferInFunction1Code

*Definition:* Specifies the function of the transfer in.

*Type:* CodeSet

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

#### 66.2.2.236 TransferInFunction2Code

*Definition:* Specifies the function of the transfer in confirmation.

*Type:* CodeSet

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 66.2.2.237 TransferReason1Code

*Definition:* Specifies the reason for the assets transfer.

*Type:* CodeSet

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g. investigation required by fiscal authority or police).
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

### 66.2.2.238 TransferStatus6Code

*Definition:* Specifies a transfer or settlement instruction status.

*Type:* CodeSet

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.

CodeName	Name	Definition
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

### 66.2.2.239 TransferStatusType2Code

*Definition:* Specifies a type of transfer status or transfer event.

*Type:* CodeSet

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
INFO	Information	Status report is sent to provide information pertinent to the transfer. May be sent in response to a request for transfer status.
STAT	Status	Status report is sent to provide the status of a transfer. May be sent in response to a request for transfer status.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
CONV	ConversionStatus	Status report is sent to provide the number of units following a conversion.

**66.2.2.240 TransferType4Code**

*Definition:* Specifies whether a financial instrument is transferred as an asset or as cash.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

**66.2.2.241 TransferUnmatchedReason3Code**

*Definition:* Specifies the reason the transaction, transfer or settlement instruction is unmatched.

*Type:* CodeSet

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

**66.2.2.242 TypeOfIdentification1Code**

*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.
CCPT	PassportNumber	Number assigned by a passport authority.
CHTY	TaxExemptIdentificationNumber	Number assigned to a tax exempt entity.
CORP	CorporateIdentification	Number assigned to a corporate entity.
DRLC	DriverLicenseNumber	Number assigned to a driver's license.
FIIN	ForeignInvestmentIdentityNumber	Number assigned to a foreign investor (other than the alien number).
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

### 66.2.2.243 TypeOfPrice10Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance

CodeName	Name	Definition
		in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 66.2.2.244 TypeOfPrice11Code

*Definition:* Specifies the type of price and information about the price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account

CodeName	Name	Definition
		the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

### 66.2.2.245 TypeOfPrice6Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large

CodeName	Name	Definition
		deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

#### 66.2.2.246 TypeOfPrice9Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.



CodeName	Name	Definition
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

#### 66.2.2.247 TypeOfRequest1Code

*Definition:* Specifies a type of request.

*Type:* CodeSet

CodeName	Name	Definition
INFO	Information	Request for information.
STAT	Status	Request for status.

#### 66.2.2.248 UKTaxGroupUnit1Code

*Definition:* Specifies the UK tax group to which units belong. For UK tax, the first dividend that an investor receives from a funds investment is deemed to be part income and part return of capital. The capital element is 'equalisation', and is exempt from income tax.

*Type:* CodeSet

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.

CodeName	Name	Definition
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

### 66.2.2.249 ValuationTiming1Code

*Definition:* Specifies how the price valuation timing is done based on the timeline defined in the prospectus.

*Type:* CodeSet

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

### 66.2.2.250 WaivingInstruction1Code

*Definition:* Specifies the form of the rebate when commission is waived.

*Type:* CodeSet

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

## 66.2.3 Date

### 66.2.3.1 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

## 66.2.4 DateTime

### 66.2.4.1 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

## 66.2.5 IdentifierSet

### 66.2.5.1 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.

### 66.2.5.2 AnyBICIdentifier

*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)".

Type: IdentifierSet

Identification scheme: SWIFT; AnyBICIdentifier

#### Format

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([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 by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**66.2.5.3 AustrianBankleitzahlIdentifier**

*Definition:* Austrian Bankleitzahl. Identifies Austrian financial institutions on the Austrian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Oesterreichische NationalBank; Austrian Bankleitzahl

**Format**

pattern AT[0-9]{5,5}

**66.2.5.4 BelgianIdentifier**

*Definition:* Identifier for Belgian securities.

*Type:* IdentifierSet

*Identification scheme:* The Belgian identifier for securities.

**66.2.5.5 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.

**66.2.5.6 BICFIIdentifier**

*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)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

**Format**

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

**Constraints**

- **BICFI**

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

**66.2.5.7 Bloomberg2Identifier**

*Definition:* An identifier of a security assigned by the Bloomberg organisation.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

**Format**

pattern (BBG)[BCDFGHJKLMNPQRSTUVWXYZ\d]{8}\d

**66.2.5.8 BloombergIdentifier**

*Definition:* An identifier of a security assigned by the Bloomberg organisation.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

**Format**

minLength	1
maxLength	35

**66.2.5.9 CanadianPaymentsARNIdentifier**

*Definition:* Canadian Payments Association Routing Number. Identifies Canadian financial institutions on the Canadian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Candian Payment Association; Payment Routing Number

**Format**

pattern CA[0-9]{9,9}

**66.2.5.10 CFIOct2015Identifier**

*Definition:* Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

Note: this identifier also supports the updated versions of the standard, which were published in 2019 and 2021 (ISO 10962 :2019 and ISO 10962:2021) as there is no update in the pattern.

*Type:* IdentifierSet

*Identification scheme:* ANNA; CFIdentifier

**Format**

pattern	[A-Z]{6,6}
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**66.2.5.11 CHIPSParticipantIdentifier**

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID). Identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Type:* IdentifierSet

*Identification scheme:* American Banker's Association (ABA); CHIPS Participant Number

**Format**

pattern	CP[0-9]{4,4}
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**66.2.5.12 CHIPSUniversalIdentifier**

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID). Identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Type:* IdentifierSet

*Identification scheme:* American Banker's Association (ABA); CHIPS UID

**Format**

pattern	CH[0-9]{6,6}
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**66.2.5.13 ConsolidatedTapeAssociationIdentifier**

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Type:* IdentifierSet

*Identification scheme:* CTAIdentifier; CTAIdentifier

**Format**

minLength	1
maxLength	35

**66.2.5.14 CUSIPIdentifier**

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. Non-US securities have a similar number called the CINS number.

*Type:* IdentifierSet

*Identification scheme:* Standards and Poor's CUSIP Service Bureau; CUSIPIdentifier

**66.2.5.15 DutchIdentifier**

*Definition:* Identifier for Dutch securities.

*Type:* IdentifierSet

*Identification scheme:* Dutch agency; DutchIdentifier

### 66.2.5.16 EuroclearClearstreamIdentifier

*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

*Type:* IdentifierSet

*Identification scheme:* Clearstream; EuroclearClearstreamIdentifier

#### Format

minLength	1
maxLength	12

### 66.2.5.17 ExtensiveBranchNetworkIdentifier

*Definition:* The extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Type:* IdentifierSet

*Identification scheme:* Australian Payments Clearing Association (APCA); Australian BSB

#### Format

pattern	AU[0-9]{6,6}
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### 66.2.5.18 FedwireRoutingNumberIdentifier

*Definition:* Fedwire Routing Number. Identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Type:* IdentifierSet

*Identification scheme:* US Federal Reserve Bank ; FedwireRoutingNumberIdentifier

#### Format

pattern	FW[0-9]{9,9}
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### 66.2.5.19 GermanBankleitzahlIdentifier

*Definition:* German Bankleitzahl. Identifies German financial institutions on the German national clearing systems.

*Type:* IdentifierSet

*Identification scheme:* Deutsche Bundesbank ; German Bankleitzahl

#### Format

pattern	BL[0-9]{8,8}
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### 66.2.5.20 HellenicBankIdentificationCodeIdentifier

*Definition:* Hellenic Bank Identification Code Identifier. Identifies Greek financial institutions on the Greek national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Hellenic Central Bank; Payment Routing Number

#### Format

pattern GR[0-9]{7,7}

### 66.2.5.21 HongKongBankIdentifier

*Definition:* Hong Kong Bank Code. Identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Type:* IdentifierSet

*Identification scheme:* Hong Kong Interbank Clearing Ltd (HKICL); Bank Code of Hong Kong

#### Format

pattern HK[0-9]{3,3}

### 66.2.5.22 IBAN2007Identifier

*Definition:* The International Bank Account Number is a code used internationally by financial institutions to uniquely identify the account of a customer at a financial institution as described in the 2007 edition of the ISO 13616 standard "Banking and related financial services - International Bank Account Number (IBAN)" and replaced by the more recent edition of the standard.

*Type:* IdentifierSet

*Identification scheme:* National Banking Association; International Bank Account Number (ISO 13616)

#### Format

pattern [A-Z]{2,2}[0-9]{2,2}[a-zA-Z0-9]{1,30}

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

### 66.2.5.23 IndianFinancialSystemCodeIdentifier

*Definition:* Indian Financial System Code Identifier. Identifies Indian financial institutions on the Indian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Indian Financial System; Payment Routing Number

#### Format

pattern IN[a-zA-Z0-9]{11,11}



**66.2.5.24 IrishNSCIdentifier**

*Definition:* Irish National Sorting Code. Identifies Irish financial institutions on the Irish national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Irish Payment Services Organisation (IPSO); Irish National Sort Code

**Format**

pattern IE[0-9]{6,6}

**66.2.5.25 ISINIdentifier**

*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.

*Type:* IdentifierSet

*Identification scheme:* ANNA; ISINIdentifier

**Format**

pattern [A-Z0-9]{12,12}

**66.2.5.26 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}

**66.2.5.27 ItalianDomesticIdentifier**

*Definition:* Italian Domestic Identification Code. Identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Type:* IdentifierSet

*Identification scheme:* Associazione Bancaria Italiana; Italian Domestic Identification

**Format**

pattern IT[0-9]{10,10}

**66.2.5.28 LEIdentifier**

*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; LEIdentifier

**Format**

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

**66.2.5.29 MICIdentifier**

*Definition:* Market Identifier Code. The identification of a financial market, as stipulated in the norm ISO 10383 'Codes for exchanges and market identifications'.

*Type:* IdentifierSet

*Identification scheme:* SWIFT; MICIdentifier

**Format**

pattern [A-Z0-9]{4,4}

**66.2.5.30 NewZealandNCCIdentifier**

*Definition:* New Zealand Bank/Branch Code. Identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Type:* IdentifierSet

*Identification scheme:* New Zealand Bankers Association; NewZealandNCC

**Format**

pattern NZ[0-9]{6,6}

**66.2.5.31 PolishNationalClearingCodeIdentifier**

*Definition:* Polish National Clearing Code Identifier. Identifies Polish financial institutions on the Polish national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Polish Central Bank; Payment Routing Number

**Format**

pattern PL[0-9]{8,8}

**66.2.5.32 PortugueseNCCIdentifier**

*Definition:* Portuguese National Clearing Code. Identifies Portuguese financial institutions on the Portuguese national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Banco de Portugal; PortugueseNCC

#### Format

pattern	PT[0-9]{8,8}
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### 66.2.5.33 QUICKIdentifier

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Type:* IdentifierSet

*Identification scheme:* QUICK; QUICKIdentifier

### 66.2.5.34 RICIdentifier

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

*Type:* IdentifierSet

*Identification scheme:* REUTERS ; REUTERSIdentifier

#### Format

minLength	1
maxLength	35

### 66.2.5.35 RussianCentralBankIdentificationCodeIdentifier

*Definition:* Russian Central Bank Identification Code. Identifies Russian financial institutions on the Russian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Central Bank of Russia; RussianCentralBankIdentificationCode

#### Format

pattern	RU[0-9]{9,9}
---------	--------------

### 66.2.5.36 SEDOLIdentifier

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Type:* IdentifierSet

*Identification scheme:* London Stock Exchange; SEDOLIdentifier

### 66.2.5.37 SicovamIdentifier

*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilières in France. The Sicovam is composed of 5-digits.

*Type:* IdentifierSet

*Identification scheme:* Sicovam; SicovamIdentifier

### 66.2.5.38 SmallNetworkIdentifier

*Definition:* The small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Type:* IdentifierSet

*Identification scheme:* Australian Payments Clearing Association (APCA); Australian BSB

#### Format

pattern AU[0-9]{6,6}

### 66.2.5.39 SouthAfricanNCCIdentifier

*Definition:* South African National Clearing Code (NCC). Identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Type:* IdentifierSet

*Identification scheme:* South African Bankers Services Company Ltd (Bank Serv); South African National Clearing system Code

#### Format

pattern ZA[0-9]{6,6}

### 66.2.5.40 SpanishDomesticInterbankingIdentifier

*Definition:* Spanish Domestic Interbanking Code. Identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Type:* IdentifierSet

*Identification scheme:* Centro de Cooperacion Interbancaria (CCI); Spanish Domestic Interbanking Identifier

#### Format

pattern ES[0-9]{8,9}

### 66.2.5.41 SwissBCIdentifier

*Definition:* Swiss Bank Code. Identifies Swiss institutions on the Swiss national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Swiss Interbank Clearing Ltd; BC Identifier

#### Format

pattern SW[0-9]{3,5}

**66.2.5.42 SwissSICIdentifier**

*Definition:* Swiss Interbank Clearing (SIC) Code. Identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Swiss Interbank Clearing Ltd; SIC Identifier

**Format**

pattern	SW[0-9]{6,6}
---------	--------------

**66.2.5.43 TickerIdentifier**

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

**Format**

minLength	1
maxLength	35

**66.2.5.44 UKDomesticSortCodeIdentifier**

*Definition:* United Kingdom (UK) Sort Code. Identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Type:* IdentifierSet

*Identification scheme:* Association for Payment Clearing Services (APACS); UK Sort Code

**Format**

pattern	SC[0-9]{6,6}
---------	--------------

**66.2.5.45 ValorenIdentifier**

*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

*Type:* IdentifierSet

*Identification scheme:* Valoren; ValorenIdentifier

**66.2.5.46 WertpapierIdentifier**

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Type:* IdentifierSet

*Identification scheme:* Wertpapier; WertpapierIdentifier

## 66.2.6 Indicator

### 66.2.6.1 PlusOrMinusIndicator

*Definition:* Indicates a positive or negative value.

*Type:* Indicator

*Meaning When True:* Plus

*Meaning When False:* Minus

### 66.2.6.2 YesNoIndicator

*Definition:* Indicates a "Yes" or "No" type of answer for an element.

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 66.2.7 Quantity

### 66.2.7.1 DecimalNumber

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

*Type:* Quantity

Format	
totalDigits	18
fractionDigits	17

### 66.2.7.2 Max1Number

*Definition:* Number (max 9) of objects represented as an integer.

*Type:* Quantity

Format	
totalDigits	1
fractionDigits	0

### 66.2.7.3 Number

*Definition:* Number of objects represented as an integer.

*Type:* Quantity

Format	
totalDigits	18
fractionDigits	0

# 66.2.8      Rate

## 66.2.8.1 BaseOneRate

*Definition:* Rate expressed as a decimal, for example, 0.7 is 7/10 and 70%.

*Type:* Rate

**Format**

totalDigits	11
fractionDigits	10
baseValue	1.0

## 66.2.8.2 PercentageBoundedRate

*Definition:* Rate expressed as a percentage, ie, in hundredths, eg, 0.7 is 7/10 of a percent, and 7.0 is 7%.

*Type:* Rate

**Format**

minInclusive	0
maxInclusive	100
totalDigits	11
fractionDigits	10
baseValue	100.0

## 66.2.8.3 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

# 66.2.9      Text

## 66.2.9.1 Exact4AlphaNumericText

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

*Type:* Text

**Format**

pattern	[a-zA-Z0-9]{4}
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**66.2.9.2 Extended350Code**

*Definition:* Code and / or description for values that are not yet part of the related code list.

*Type:* Text

**Format**

minLength	1
maxLength	350

**66.2.9.3 Max10Text**

*Definition:* Specifies a character string with a maximum length of 10 characters.

*Type:* Text

**Format**

minLength	1
maxLength	10

**66.2.9.4 Max140Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	140

**66.2.9.5 Max16Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	16

**66.2.9.6 Max2048Text**

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text



**Format**

minLength	1
maxLength	2048

**66.2.9.7 Max256Text**

*Definition:* Specifies a character string with a maximum length of 256 characters.

*Type:* Text

**Format**

minLength	1
maxLength	256

**66.2.9.8 Max34Text**

*Definition:* Specifies a character string with a maximum length of 34 characters.

*Type:* Text

**Format**

minLength	1
maxLength	34

**66.2.9.9 Max350Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	350

**66.2.9.10 Max35Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	35

**66.2.9.11 Max3Text**

*Definition:* Specifies a character string with a maximum length of 3 characters.

*Type:* Text

**Format**

minLength	1
maxLength	3

**66.2.9.12 Max4AlphaNumericText**

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

*Type:* Text

**Format**

minLength	1
maxLength	4
pattern	[a-zA-Z0-9]{1,4}

**66.2.9.13 Max5NumericText**

*Definition:* Specifies a numeric string with a maximum length of 5 digits.

*Type:* Text

**Format**

pattern	[0-9]{1,5}
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**66.2.9.14 Max70Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	70

**66.2.9.15 Max8Text**

*Definition:* Specifies a character string with a maximum length of 8 characters.

*Type:* Text

**Format**

minLength	1
maxLength	8

**66.2.9.16 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, "(", ")", "+", "-" (up to 30 characters).

*Type:* Text

#### Format

pattern \+[0-9]{1,3}-[0-9()+-]{1,30}

### 66.2.9.17 PreviousAll

*Definition:* Indicates that the investment plan issued during all the previous years have to be transferred.

*Type:* Text

#### Format

pattern ALL

## 66.2.10 Time

### 66.2.10.1 ISOTime

*Definition:* A particular point in the progression of time in a calendar day expressed in either UTC time format (hh:mm:ss.sssZ), local time with UTC offset format (hh:mm:ss.sss+/-hh:mm), or local time format (hh: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:* Time

## 66.2.11 Year

### 66.2.11.1 ISOYear

*Definition:* Year represented by YYYY (ISO 8601).

*Type:* Year

## 66.2.12 YearMonth

### 66.2.12.1 ISOYearMonth

*Definition:* Month within a particular calendar year represented by YYYY-MM (ISO 8601).

Type: YearMonth