

ISO 20022

Buyer Protection - ISO - Latest version

# Message Definition Report - Part 1

Approved by the Securities SEG on 18 February 2026

This document provides details of the Message Definitions for Buyer Protection - ISO - Latest version.

February 2026

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# 1 Message Set Overview

## Introduction

Set of messages exchanged between intermediaries such as (I)CSDs, custodians, and counterparties to manage buyer protection processes. These messages cover instruction submission, status updates, cancellations, allegation notifications, and reporting, enabling buyers to secure their corporate action entitlements when securities are not yet delivered.

## 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
head.001.001.02 BusinessApplicationHeaderV02	<p>The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.</p> <p>A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:</p> <p>" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.</p> <p>" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.</p> <p>" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.</p> <p>" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.</p> <p>Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.</p>
seev.060.001.01 BuyerProtectionInstructionV01	<p>The BuyeProtectionInstruction message is sent by an account owner to an account servicer to instruct a buyer protection on a pending settlement instruction.</p>

MessageDefinition	Definition
seev.061.001.01 BuyerProtectionInstructionStatusAdviceV01	<p>The BuyerProtectionInstructionStatusAdvice message is sent by an account servicer to an account owner or its designated agent, to report the status of a received Buyer Protection Instruction.</p> <p>This message is used to advise the status, or a change in status, of a Buyer Protection Instruction previously instructed by, or processed on behalf of, the account owner. This will include the acknowledgement/rejection of a Buyer Protection Instruction.</p>
seev.062.001.01 BuyerProtectionInstructionCancellationRequestV01	The BuyerProtectionInstructionCancellationRequest message is sent by an account owner to an account servicer to request cancellation of a previously sent Buyer Protection Instruction.
seev.063.001.01 BuyerProtectionInstructionCancellationRequestStatusAdviceV01	The BuyerProtectionInstructionCancellationRequestStatusAdvice message is sent by an account servicer to an account owner or its designated agent to report the status of a previously received BuyerProtectionInstructionCancellationRequest message sent by the account owner. This will include the acknowledgement/rejection of a request to cancel an outstanding instruction.
seev.064.001.01 BuyerProtectionInstructionAllegationNotificationV01	An account servicer sends a BuyerProtectionInstructionAllegationNotification to an account owner to advise the account owner that a counterparty has alleged a Buyer Protection Instruction against the account owner's account at the account servicer. An action may be required by the account owner.
seev.065.001.01 BuyerProtectionInstructionAllegationRemovalAdviceV01	An account servicer sends a BuyerProtectionInstructionAllegationRemovalAdvice message to an account owner to acknowledge that a previously sent Buyer Protection Instruction Allegement is no longer outstanding.
seev.066.001.01 BuyerProtectionInstructionReportRequestV01	The BuyerProtectionInstructionReportRequest message is sent by an account owner or its designated agent to an account servicer to request a report of all buyer protection instructions at the safekeeping account level for one or more corporate action events or at the corporate action event level for one or more safekeeping accounts.
seev.067.001.01 BuyerProtectionInstructionReportV01	The BuyerProtectionInstructionReport message is sent by an account servicer to an account owner or its designated agent to report the status of all Buyer Protection Instructions in response to a Buyer Protection Instruction Report Request.

## 2 **head.001.001.02 BusinessApplicationHeaderV02**

### 2.1 **MessageDefinition Functionality**

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

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

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

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

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

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

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

Outline

The BusinessApplicationHeaderV02 MessageDefinition is composed of 14 MessageBuildingBlocks:

A. CharacterSet

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

B. From

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

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

C. To

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

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

D. BusinessMessageIdentifier

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

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

F. BusinessService

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

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

Example: E&I.

G. MarketPractice

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

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

H. CreationDate

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

I. BusinessProcessingDate

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

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

J. CopyDuplicate

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

K. PossibleDuplicate

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

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

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

This will guarantee business idempotent behaviour.

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

L. Priority

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

M. Signature

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

N. Related

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

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

## 2.2 Structure

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

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

## 2.3 Constraints

### C1 AnyBIC

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

### C2 BICFI

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

### C3 Country

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

### C4 OnlySignatureElement

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

### C5 RelatedPresentWhenCopyDupl

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

If CopyDuplicate is present, then Related MUST be present.

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

*This constraint is defined at the MessageDefinition level.*

### C6 ValidationByTable

### C7 ValidationByTable

## 2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 2.4.1 CharacterSet <CharSet>

*Presence:* [0..1]

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

*Impacted by:* C6 "ValidationByTable"

*Datatype:* "UnicodeChartsCode" on page 218

#### Constraints

- **ValidationByTable**

### 2.4.2 From <Fr>

*Presence:* [1..1]

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

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

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

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

#### 2.4.2.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "PartyIdentification135" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		174
	PostalAddress <PstlAdr>	[0..1]	±		174
	Identification <Id>	[0..1]	±		175
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	175
	ContactDetails <CtctDtls>	[0..1]	±		176

### 2.4.2.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIld>** contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		153
	BranchIdentification <BrnchId>	[0..1]	±		154

### 2.4.3 To <To>

*Presence:* [1..1]

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

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

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

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

#### 2.4.3.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "[PartyIdentification135](#)" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		174
	PostalAddress <PstlAdr>	[0..1]	±		174
	Identification <Id>	[0..1]	±		175
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	175
	ContactDetails <CtctDtls>	[0..1]	±		176

#### 2.4.3.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		153
	BranchIdentification <BrnchId>	[0..1]	±		154

## 2.4.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 223

## 2.4.5 MessageDefinitionIdentifier <MsgDefIdr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

*Datatype:* "Max35Text" on page 223

## 2.4.6 BusinessService <BizSvc>

*Presence:* [0..1]

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

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

Example: E&I.

*Datatype:* "Max35Text" on page 223

## 2.4.7 MarketPractice <MktPrctc>

*Presence:* [0..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Registry &lt;Regy&gt;</b>	[1..1]	Text		14
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		14

#### 2.4.7.1 Registry <Regy>

*Presence:* [1..1]

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

For example, "MyStandards".

*Datatype:* "Max350Text" on page 222

#### 2.4.7.2 Identification <Id>

*Presence:* [1..1]

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

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

*Datatype:* "Max2048Text" on page 222

### 2.4.8 CreationDate <CreDt>

*Presence:* [1..1]

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

*Datatype:* "ISODateTime" on page 218

### 2.4.9 BusinessProcessingDate <BizPrcgDt>

*Presence:* [0..1]

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

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

*Datatype:* "ISODateTime" on page 218

### 2.4.10 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

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

*Datatype:* "CopyDuplicate1Code" on page 205

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

## 2.4.11 PossibleDuplicate <PssbIDp1ct>

*Presence:* [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 220](#)):

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

## 2.4.12 Priority <Prty>

*Presence:* [0..1]

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

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

*Datatype:* ["BusinessMessagePriorityCode" on page 205](#)

**Constraints**

- **ValidationByTable**

## 2.4.13 Signature <Sgntr>

*Presence:* [0..1]

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

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

## 2.4.14 Related <Rltd>

*Presence:* [0..\*]

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

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

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

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

### 2.4.14.1 CharacterSet <CharSet>

*Presence:* [0..1]

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

*Impacted by:* C6 "ValidationByTable"

*Datatype:* "UnicodeChartsCode" on page 218

#### Constraints

- ValidationByTable

### 2.4.14.2 From <Fr>

*Presence:* [1..1]

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

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

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

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

#### 2.4.14.2.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "PartyIdentification135" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		174
	PostalAddress <PstlAdr>	[0..1]	±		174
	Identification <Id>	[0..1]	±		175
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	175
	ContactDetails <CtctDtls>	[0..1]	±		176

#### 2.4.14.2.2 FinancialInstitutionIdentification <FIId>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIld>** contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		153
	BranchIdentification <BrnchId>	[0..1]	±		154

#### 2.4.14.3 To <To>

*Presence:* [1..1]

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

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

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

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

##### 2.4.14.3.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "[PartyIdentification135](#)" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		174
	PostalAddress <PstlAdr>	[0..1]	±		174
	Identification <Id>	[0..1]	±		175
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	175
	ContactDetails <CtctDtls>	[0..1]	±		176

##### 2.4.14.3.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		153
	BranchIdentification <BrnchId>	[0..1]	±		154

#### 2.4.14.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 223

#### 2.4.14.5 MessageDefinitionIdentifier <MsgDefIdr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

*Datatype:* "Max35Text" on page 223

#### 2.4.14.6 BusinessService <BizSvc>

*Presence:* [0..1]

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

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

Example: E&I.

*Datatype:* "Max35Text" on page 223

#### 2.4.14.7 CreationDate <CreDt>

*Presence:* [1..1]

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

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

*Datatype:* "ISODatetime" on page 218

#### 2.4.14.8 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

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

*Datatype:* "CopyDuplicate1Code" on page 205

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

#### 2.4.14.9 PossibleDuplicate <PssbIDp1ct>

*Presence:* [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 220):

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

#### 2.4.14.10 Priority <Prty>

*Presence:* [0..1]

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

*Impacted by:* C7 "ValidationByTable"

*Datatype:* "BusinessMessagePriorityCode" on page 205

**Constraints**

- **ValidationByTable**

**2.4.14.11 Signature <Sgntr>**

*Presence:* [0..1]

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

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

## 3 **seev.060.001.01 BuyerProtectionInstructionV01**

### 3.1 **MessageDefinition Functionality**

#### Scope

The BuyeProtectionInstruction message is sent by an account owner to an account servicer to instruct a buyer protection on a pending settlement instruction.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The BuyerProtectionInstructionV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. CorporateActionGeneralInformation  
General information about the corporate action event.
- B. RelatedSettlementInstruction  
Details of the buyer protected settlement instruction.
- C. AccountIdentification  
Selected safekeeping accounts list to which the corporate action event applies.
- D. CorporateActionElection  
Buyer protection elected option.
- E. SupplementaryData  
Additional information that cannot be captured in the structured elements and/or any other specific block.

## 3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyrPrtcnInstr>	[1..1]			
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C14	26
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		26
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		26
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	26
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		27
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[1..1]		C13	27
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		28
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		28
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		29
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		29
	<b>SecuritiesMovementType</b> <SciesMvmntTp>	[1..1]	CodeSet		29
	<b>Payment</b> <Pmt>	[1..1]	CodeSet		29
	<b>TradeDate</b> <TradDt>	[0..1]	±		29
	<b>SettlementDate</b> <SttlmDt>	[1..1]	±		30
	<b>SettlementQuantity</b> <SttlmQty>	[1..1]	±		30
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	±		30
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C2	31
	<b>Identification</b> <Id>	[1..1]			31
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C3	31
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		32
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C4	32
	<b>ProcessingIdentification</b> <PrctlId>	[0..1]	Text		32
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		32
	<b>AccountIdentification</b> <AcctId>	[0..1]			33
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		33
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		33
	<b>CorporateActionElection</b> <CorpActnElctn>	[1..1]			33
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		34

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionType</b> <OptnTp>	[1..1]	±		34
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	34
	<b>PriceDetails</b> <PricDtls>	[0..1]		C10	35
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		35
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		36
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C15	36
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C16	37

### 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 AdditionalInformationRule

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

#### 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 Country

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

#### C5 CurrencyAmount

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

Note: The decimal separator is a dot.

#### C6 DescriptionPresenceRule

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

#### C7 DescriptionUsageRule

Description must be used alone as the last resort.

**C8 DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C9 EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**C10 GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**C11 ISINGuideline**

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

**C12 ISINPresenceRule**

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

**C13 MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**C14 OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C15 OtherIdentificationPresenceRule**

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

**C16 SupplementaryDataRule**

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

## 3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 3.4.1 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C14 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		26
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		26
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	26
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		27

#### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 3.4.1.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 3.4.1.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 3.4.1.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* C9 "EventTypeRule"

**EventType <EvtTp>** contains one of the following elements (see "[CorporateActionEventType125Choice](#)" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

#### Constraints

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### 3.4.1.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Datatype:* "[ISINOct2015Identifier](#)" on page 219

### 3.4.2 RelatedSettlementInstruction <RltdSttlmInstr>

*Presence:* [1..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* [C13 "MarketInfrastructureOrProcessorTransactionIdentificationRule"](#)

**RelatedSettlementInstruction** <RltdSttlmInstr> contains the following **RelatedSettlementInstruction3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxld>	[0..1]	Text		28
	<b>ProcessorTransactionIdentification</b> <PrcrTxld>	[0..1]	Text		28
	<b>UniqueTransactionIdentifier</b> <UnqTxldr>	[0..1]	IdentifierSet		29
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrld>	[0..1]	Text		29
	<b>SecuritiesMovementType</b> <SctiesMvmntTp>	[1..1]	CodeSet		29
	<b>Payment</b> <Pmt>	[1..1]	CodeSet		29
	<b>TradeDate</b> <TradDt>	[0..1]	±		29
	<b>SettlementDate</b> <SttlmDt>	[1..1]	±		30
	<b>SettlementQuantity</b> <SttlmQty>	[1..1]	±		30
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	±		30
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C2	31
	<b>Identification</b> <Id>	[1..1]			31
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C3	31
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		32
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C4	32
	<b>ProcessingIdentification</b> <Prcgld>	[0..1]	Text		32
	<b>AlternateIdentification</b> <Altrnld>	[0..*]	±		32

#### Constraints

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### 3.4.2.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### 3.4.2.2 ProcessorTransactionIdentification <PrcrTxld>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner, the account servicer or the market infrastructure.

*Datatype:* "Max35Text" on page 223

### 3.4.2.3 UniqueTransactionIdentifier <UnqTxldr>

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

### 3.4.2.4 RelatedSettlementInstructionIdentification <RltdSttlmInstrld>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

### 3.4.2.5 SecuritiesMovementType <SctiesMvmntTp>

*Presence:* [1..1]

*Definition:* Specifies if the movement on a securities account results from a deliver or a receive instruction.

*Datatype:* "ReceiveDelivery1Code" on page 215

CodeName	Name	Definition
DELI	Delivery	Financial instruments will be debited from the safekeeping account.
RECE	Receive	Financial instruments will be credited to the safekeeping account.

### 3.4.2.6 Payment <Pmt>

*Presence:* [1..1]

*Definition:* Specifies how the transaction is to be settled, for example, against payment.

*Datatype:* "DeliveryReceiptType2Code" on page 211

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).

### 3.4.2.7 TradeDate <TradDt>

*Presence:* [0..1]

*Definition:* Specifies the date/time on which the trade was executed.

**TradeDate <TradDt>** contains one of the following elements (see "[TradeDate8Choice](#)" on page 146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		146
Or}	DateCode <DtCd>	[1..1]			146
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	±		147

### 3.4.2.8 SettlementDate <SttlmDt>

*Presence:* [1..1]

*Definition:* Date and time at which the securities are to be delivered or received.

**SettlementDate <SttlmDt>** contains one of the following elements (see "[SettlementDate17Choice](#)" on page 147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		147
Or}	DateCode <DtCd>	[1..1]	±		147

### 3.4.2.9 SettlementQuantity <SttlmQty>

*Presence:* [1..1]

*Definition:* Total quantity of securities to be settled.

**SettlementQuantity <SttlmQty>** contains one of the following elements (see "[Quantity51Choice](#)" on page 197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C8	197
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		197

### 3.4.2.10 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money to be paid or received in exchange for the securities.

**SettlementAmount <SttlmAmt>** contains the following elements (see "[AmountAndDirection110](#)" on page 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1, C5	145
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		145

### 3.4.2.11 CounterpartyDepository <CtrPtyDpstry>

*Presence:* [0..1]

*Definition:* First receiving party in the settlement chain. In a plain vanilla settlement, it is the central securities depository where the receiving side of the transaction requests to receive the financial instrument.

*Impacted by:* C2 "AdditionalInformationRule"

**CounterpartyDepository <CtrPtyDpstry>** contains the following **PartyIdentification143** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]			31
{Or	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C3	31
Or	<b>NameAndAddress &lt;NmAndAdr&gt;</b>	[1..1]	±		32
Or}	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C4	32
	<b>ProcessingIdentification &lt;PrctlId&gt;</b>	[0..1]	Text		32
	<b>AlternateIdentification &lt;AltrnId&gt;</b>	[0..*]	±		32

#### Constraints

- **AdditionalInformationRule**

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

#### 3.4.2.11.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C3	31
Or	<b>NameAndAddress &lt;NmAndAdr&gt;</b>	[1..1]	±		32
Or}	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C4	32

##### 3.4.2.11.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C3 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 219

**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.

**3.4.2.11.1.2 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		183
	Address <Adr>	[0..1]	±		183

**3.4.2.11.1.3 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* [C4 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 210

**Constraints**

- **Country**

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

**3.4.2.11.2 ProcessingIdentification <PrcgId>**

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* "[Max35Text](#)" on page 223

**3.4.2.11.3 AlternateIdentification <AltrnId>**

*Presence:* [0..\*]

*Definition:* Provides alternate identification for a party using an id type, a country code and a text field.

**AlternateIdentification <AltrnId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		173
	Country <Ctry>	[1..1]	CodeSet	C3	173
	AlternateIdentification <AltrnId>	[1..1]	Text		173

### 3.4.3 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		33
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[1..1]	Text		33

#### 3.4.3.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "[Max35Text](#)" on page 223

#### 3.4.3.2 BlockChainAddressOrWallet <BlckChainAdrOrWlIt>

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "[Max140Text](#)" on page 222

### 3.4.4 CorporateActionElection <CorpActnElctn>

*Presence:* [1..1]

*Definition:* Buyer protection elected option.

**CorporateActionElection <CorpActnElctn>** contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		34
	<b>OptionType</b> <OptnTp>	[1..1]	±		34
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	34
	<b>PriceDetails</b> <PricDtls>	[0..1]		C10	35
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		35
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		36
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C15	36

#### 3.4.4.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 3.4.4.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 3.4.4.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 204

##### 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.

#### 3.4.4.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* C10 "GenericCashPricePerProductGuideline"

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		35
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		36

#### Constraints

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

##### 3.4.4.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 3.4.4.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 3.4.4.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C6 "DescriptionPresenceRule", C7 "DescriptionUsageRule", C11 "ISINGuideline", C12 "ISINPresenceRule", C15 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

### Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

## 3.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by: C16 "SupplementaryDataRule"*

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

## 4 **seev.061.001.01** **BuyerProtectionInstructionStatusAdviceV01**

### 4.1 **MessageDefinition Functionality**

#### Scope

The BuyerProtectionInstructionStatusAdvice message is sent by an account servicer to an account owner or its designated agent, to report the status of a received Buyer Protection Instruction.

This message is used to advise the status, or a change in status, of a Buyer Protection Instruction previously instructed by, or processed on behalf of, the account owner. This will include the acknowledgement/rejection of a Buyer Protection Instruction.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The BuyerProtectionInstructionStatusAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. BuyerProtectionInstruction  
Identifies the document.
- B. CorporateActionGeneralInformation  
General information about the corporate action event.
- C. InstructionProcessingStatus  
Information about the processing status of the instruction.
- D. RelatedSettlementInstruction  
Details of the buyer protected settlement instruction.
- E. AccountIdentification  
Selected safekeeping accounts list to which the corporate action event applies.
- F. CorporateActionElection  
Buyer protection elected option.
- G. SupplementaryData  
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> <BuyrPrtcnInstrStsAdv>	[1..1]			
	<b>BuyerProtectionInstruction</b> <BuyrPrtcnInstr>	[1..1]	±		43
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C13	43
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		43
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		44
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	44
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		44
	<b>InstructionProcessingStatus</b> <InstrPrpgSts>	[1..*]			44
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConf>	[1..1]	CodeSet		45
Or	<b>Rejected</b> <Rjctd>	[1..1]			45
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		46
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	46
	<b>ReasonCode</b> <RsnCd>	[1..1]			46
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		47
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		48
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		48
Or	<b>Pending</b> <Pdg>	[1..1]			48
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		49
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	49
	<b>ReasonCode</b> <RsnCd>	[1..1]			49
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		49
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		50
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		50
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		50
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[0..1]		C12	50
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		51
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		51
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		51
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		51

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountIdentification</b> <AcctId>	[0..1]			51
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		52
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		52
	<b>CorporateActionElection</b> <CorpActnElctn>	[0..1]			52
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		52
	<b>OptionType</b> <OptnTp>	[1..1]	±		53
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	53
	<b>PriceDetails</b> <PricDtls>	[0..1]		C9	53
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		54
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		54
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C5, C6, C10, C11, C14	55
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C15	56

## 4.3 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 AdditionalReasonInformationRule

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

### C3 AdditionalReasonInformationRule

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

### C4 AdditionalReasonInformationRule

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

### C5 DescriptionPresenceRule

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

### C6 DescriptionUsageRule

Description must be used alone as the last resort.

**C7 DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C8 EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**C9 GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**C10 ISINGuideline**

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

**C11 ISINPresenceRule**

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

**C12 MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**C13 OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C14 OtherIdentificationPresenceRule**

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

**C15 SupplementaryDataRule**

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

## 4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 4.4.1 BuyerProtectionInstruction <BuyrPrtcnInstr>

*Presence:* [1..1]

*Definition:* Identifies the document.

**BuyerProtectionInstruction <BuyrPrtcnInstr>** contains the following elements (see "DocumentIdentification57" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>	[1..1]	Text		158
	ProcessorInstructionIdentification <PrclInstrId>	[0..1]	Text		158

## 4.4.2 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C13 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		43
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		44
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	44
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		44

### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 4.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

**4.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>***Presence:* [0..1]*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.*Datatype:* "Max35Text" on page 223**4.4.2.3 EventType <EvtTp>***Presence:* [1..1]*Definition:* Type of corporate action event.*Impacted by:* C8 "EventTypeRule"**EventType <EvtTp>** contains one of the following elements (see "CorporateActionEventType125Choice" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

**Constraints**

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**4.4.2.4 FinancialInstrumentIdentification <FinInstrmId>***Presence:* [0..1]*Definition:* Identifies the financial instrument.*Datatype:* "ISINOct2015Identifier" on page 219**4.4.3 InstructionProcessingStatus <InstrPrcgSts>***Presence:* [1..\*]*Definition:* Information about the processing status of the instruction.

**InstructionProcessingStatus <InstrPrcgSts>** contains one of the following **InstructionProcessingStatus59Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConfd>	[1..1]	CodeSet		45
Or	<b>Rejected</b> <Rjctd>	[1..1]			45
{Or	<b>NoSpecifiedReason</b> <NoSpcfdRsn>	[1..1]	CodeSet		46
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	46
	<b>ReasonCode</b> <RsnCd>	[1..1]			46
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		47
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		48
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		48
Or	<b>Pending</b> <Pdg>	[1..1]			48
{Or	<b>NoSpecifiedReason</b> <NoSpcfdRsn>	[1..1]	CodeSet		49
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	49
	<b>ReasonCode</b> <RsnCd>	[1..1]			49
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		49
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		50
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		50
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		50

#### 4.4.3.1 AcceptedAndConfirmed <AccptdAndConfd>

*Presence:* [1..1]

*Definition:* Provides status information related to a buyer instruction request that is accepted and confirmed (matched by the counterparty).

*Datatype:* "NoReasonCode" on page 213

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

#### 4.4.3.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Provides status information related to an instruction request rejected for further processing due to system reasons.

**Rejected <Rjctd>** contains one of the following **RejectedStatus63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		46
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	46
	<b>ReasonCode</b> <RsnCd>	[1..1]			46
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		47
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		48
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		48

#### 4.4.3.2.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 213

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

#### 4.4.3.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason why the buyer protection instruction is rejected.

*Impacted by:* C2 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **RejectedStatusReason62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			46
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		47
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		48
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		48

#### Constraints

- **AdditionalReasonInformationRule**

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

#### 4.4.3.2.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason65Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		47
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		48

#### 4.4.3.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejection reason specified as a code.

*Datatype:* "RejectionReason87Code" on page 215

CodeName	Name	Definition
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCC	CurrencyRejection	Invalid instructed currency.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
DSET	DeniedSinceAlreadySettled	Cancellation request was denied because the instruction was already settled.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
TRTY	IncorrectTransactionType	Transaction type is incorrect.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECMD	ElectionToCounterpartyMarketDeadlineMissed	Received after the election to counterparty market deadline.

CodeName	Name	Definition
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
DUCK	UnderlyingTransactionCancelled	Buyer Protection instruction rejected since underlying settlement transaction has been cancelled.
DUST	UnderlyingTransactionAlreadySettled	Buyer Protection instruction was rejected, because the underlying settlement transaction has already been settled.
DSNA	NoBuyerProtectionAllowed	Underlying transaction type/status does not allow for a buyer protection.

#### 4.4.3.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejection reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 4.4.3.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection status.

*Datatype:* "[Max210Text](#)" on page 222

#### 4.4.3.3 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Provides status information related to a pending instruction.

**Pending <Pdg>** contains one of the following **PendingStatus78Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		49
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	49
	<b>ReasonCode</b> <RsnCd>	[1..1]			49
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		49
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		50
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		50

**4.4.3.3.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* Reason not specified.*Datatype:* "NoReasonCode" on page 213

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

**4.4.3.3.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the pending status.*Impacted by:* C3 "AdditionalReasonInformationRule"**Reason <Rsn>** contains the following **PendingStatusReason32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			49
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		49
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		50
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		50

**Constraints**

- AdditionalReasonInformationRule**

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

**4.4.3.3.2.1 ReasonCode <RsnCd>***Presence:* [1..1]*Definition:* Specifies the reason why the buyer protection instruction's processing is pending.**ReasonCode <RsnCd>** contains one of the following **PendingReason74Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		49
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		50

**4.4.3.3.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Pending reason specified as a code.*Datatype:* "PendingReason30Code" on page 214

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
WCTF	AwaitingCounterpartyResponse	Allegation has been sent out to counterparty. Waiting for the response.

#### 4.4.3.3.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Pending reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 4.4.3.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* "[Max210Text](#)" on page 222

#### 4.4.3.4 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to an instruction.

**ProprietaryStatus <PrtrySts>** contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 200 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		200
	ProprietaryReason <PrtryRsn>	[0..*]	±	C4	201

### 4.4.4 RelatedSettlementInstruction <RltdSttlmInstr>

*Presence:* [0..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* [C12 "MarketInfrastructureOrProcessorTransactionIdentificationRule"](#)

**RelatedSettlementInstruction** <RltdSttlmInstr> contains the following **RelatedSettlementInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		51
	<b>ProcessorTransactionIdentification</b> <PrcrTxId>	[0..1]	Text		51
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		51
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		51

#### Constraints

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### 4.4.4.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### 4.4.4.2 ProcessorTransactionIdentification <PrcrTxId>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

#### 4.4.4.3 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

#### 4.4.4.4 UniqueTransactionIdentifier <UnqTxIdr>

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

### 4.4.5 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		52
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[1..1]	Text		52

#### 4.4.5.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 223

#### 4.4.5.2 BlockChainAddressOrWallet <BlckChainAdrOrWlIt>

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "Max140Text" on page 222

### 4.4.6 CorporateActionElection <CorpActnElctn>

*Presence:* [0..1]

*Definition:* Buyer protection elected option.

**CorporateActionElection <CorpActnElctn>** contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		52
	<b>OptionType</b> <OptnTp>	[1..1]	±		53
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	53
	<b>PriceDetails</b> <PricDtls>	[0..1]		C9	53
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		54
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		54
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C5, C6, C10, C11, C14	55

#### 4.4.6.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 4.4.6.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 4.4.6.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 204

##### Constraints

- **ActiveCurrency**

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

#### 4.4.6.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* C9 "GenericCashPricePerProductGuideline"

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		54
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		54

**Constraints**

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**4.4.6.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

**4.4.6.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 4.4.6.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C5 "DescriptionPresenceRule", C6 "DescriptionUsageRule", C10 "ISINGuideline", C11 "ISINPresenceRule", C14 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

#### Constraints

- **DescriptionPresenceRule**

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

On Condition

/Description is absent

Following Must be True

/ISIN Must be present

Or /OtherIdentification[\*] Must be present

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

## 4.4.7 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see ["SupplementaryData1"](#) on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

### Constraints

- **SupplementaryDataRule**

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

# 5 **seev.062.001.01**

## **BuyerProtectionInstructionCancellationRequestV01**

### 5.1 **MessageDefinition Functionality**

#### Scope

The BuyerProtectionInstructionCancellationRequest message is sent by an account owner to an account servicer to request cancellation of a previously sent Buyer Protection Instruction.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The BuyerProtectionInstructionCancellationRequestV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. BuyerProtectionInstructionIdentification

Identification of the related buyer protection instruction document for which the cancellation is requested.

B. CorporateActionGeneralInformation

General information about the corporate action event.

C. RelatedSettlementInstruction

Details of the buyer protected settlement instruction.

D. AccountIdentification

Selected safekeeping accounts list to which the corporate action event applies.

E. CorporateActionElection

Buyer protection elected option.

F. SupplementaryData

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

## 5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyrPrtcnInstrCxlReq>	[1..1]			
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcnInstrId>	[1..1]	±		60
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C10	60
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		61
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		61
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	61
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		62
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[0..1]		C9	62
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		62
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		62
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		62
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		63
	<b>AccountIdentification</b> <AcctId>	[0..1]			63
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		63
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[1..1]	Text		63
	<b>CorporateActionElection</b> <CorpActnElctn>	[0..1]			63
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		64
	<b>OptionType</b> <OptnTp>	[1..1]	±		64
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	64
	<b>PriceDetails</b> <PricDtls>	[0..1]		C6	65
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		65
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		66
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C2, C3, C7, C8, C11	66
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C12	67

## 5.3 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 **DescriptionPresenceRule**

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

### C3 **DescriptionUsageRule**

Description must be used alone as the last resort.

### C4 **DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### C5 **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### C6 **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

### C7 **ISINGuideline**

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

### C8 **ISINPresenceRule**

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

### C9 **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

### C10 **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C11 OtherIdentificationPresenceRule**

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

#### **C12 SupplementaryDataRule**

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

## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 5.4.1 BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>

*Presence:* [1..1]

*Definition:* Identification of the related buyer protection instruction document for which the cancellation is requested.

**BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>** contains the following elements (see "DocumentIdentification57" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>	[1..1]	Text		158
	ProcessorInstructionIdentification <PrctrInstrId>	[0..1]	Text		158

### 5.4.2 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C10 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following CorporateActionGeneralInformation195 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		61
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		61
	EventType <EvtTp>	[1..1]	±	C5	61
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	IdentifierSet		62

**Constraints**

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**5.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>**

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* ["Max35Text" on page 223](#)

**5.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>**

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* ["Max35Text" on page 223](#)

**5.4.2.3 EventType <EvtTp>**

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C5 "EventTypeRule"](#)

**EventType <EvtTp>** contains one of the following elements (see ["CorporateActionEventType125Choice" on page 161](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

**Constraints**

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### 5.4.2.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Datatype:* "ISINOct2015Identifier" on page 219

### 5.4.3 RelatedSettlementInstruction <RltdSttlmInstr>

*Presence:* [0..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* C9 "MarketInfrastructureOrProcessorTransactionIdentificationRule"

**RelatedSettlementInstruction <RltdSttlmInstr>** contains the following **RelatedSettlementInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		62
	<b>ProcessorTransactionIdentification</b> <PrcrTxId>	[0..1]	Text		62
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		62
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		63

#### Constraints

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### 5.4.3.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### 5.4.3.2 ProcessorTransactionIdentification <PrcrTxId>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

#### 5.4.3.3 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

#### 5.4.3.4 UniqueTransactionIdentifier <UnqTxIdr>

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

### 5.4.4 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		63
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		63

#### 5.4.4.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 223

#### 5.4.4.2 BlockChainAddressOrWallet <BlckChainAdrOrWlt>

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "Max140Text" on page 222

### 5.4.5 CorporateActionElection <CorpActnElctn>

*Presence:* [0..1]

*Definition:* Buyer protection elected option.

**CorporateActionElection <CorpActnElctn>** contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		64
	<b>OptionType</b> <OptnTp>	[1..1]	±		64
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	64
	<b>PriceDetails</b> <PricDtls>	[0..1]		C6	65
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		65
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		66
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C2, C3, C7, C8, C11	66

#### 5.4.5.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 5.4.5.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 5.4.5.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 204

##### 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.

#### 5.4.5.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* C6 "GenericCashPricePerProductGuideline"

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		65
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		66

#### Constraints

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

##### 5.4.5.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 5.4.5.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 5.4.5.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C2 "DescriptionPresenceRule", C3 "DescriptionUsageRule", C7 "ISINGuideline", C8 "ISINPresenceRule", C11 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

#### Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

## 5.4.6 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by: C12 "SupplementaryDataRule"*

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

## 6 **seev.063.001.01** **BuyerProtectionInstructionCancellationRequestStatusAdviceV01**

### 6.1 **MessageDefinition Functionality**

#### Scope

The BuyerProtectionInstructionCancellationRequestStatusAdvice message is sent by an account servicer to an account owner or its designated agent to report the status of a previously received BuyerProtectionInstructionCancellationRequest message sent by the account owner. This will include the acknowledgement/rejection of a request to cancel an outstanding instruction.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The BuyerProtectionInstructionCancellationRequestStatusAdviceV01 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. BuyerProtectionInstructionIdentification

Identification of the related buyer protection instruction document for which the cancellation is requested.

B. ProcessorTransactionIdentification

Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

C. CorporateActionGeneralInformation

General information about the corporate action event.

D. InstructionCancellationRequestStatus

Provides information about the processing status of the instruction cancellation request.

E. RelatedSettlementInstruction

Details of the buyer protected settlement instruction.

F. AccountIdentification

Selected safekeeping accounts list to which the corporate action event applies.

G. CorporateActionElection

Buyer protection elected option.

H. SupplementaryData

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> <BuyrPrtcnInstrCxlReqStsAdv>	[1..1]			
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcnInstrId>	[1..1]	±		73
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		74
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C13	74
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		74
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		75
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	75
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		75
	<b>InstructionCancellationRequestStatus</b> <InstrCxlReqSts>	[1..*]			75
{Or	<b>CancellationCompleted</b> <CxlCmpltd>	[1..1]	CodeSet		76
Or	<b>Rejected</b> <Rjctd>	[1..1]			76
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			77
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		77
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		78
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		79
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[0..1]		C12	79
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		80
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		80
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		80
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		80
	<b>AccountIdentification</b> <AcctId>	[0..1]			80
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		80
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		81
	<b>CorporateActionElection</b> <CorpActnElctn>	[0..1]			81
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		81

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionType</b> <OptnTp>	[1..1]	±		81
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	82
	<b>PriceDetails</b> <PricDtls>	[0..1]		C9	82
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		82
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		83
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C5, C6, C10, C11, C14	83
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C15	84

## 6.3 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 AdditionalReasonInformationRule

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

### C3 AdditionalReasonInformationRule

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

### C4 AdditionalReasonInformationRule

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

### C5 DescriptionPresenceRule

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

### C6 DescriptionUsageRule

Description must be used alone as the last resort.

### C7 DigitalTokenUnitUsageRule

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### C8 EventTypeRule

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### **C9 GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

#### **C10 ISINGuideline**

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

#### **C11 ISINPresenceRule**

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

#### **C12 MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### **C13 OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C14 OtherIdentificationPresenceRule**

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

#### **C15 SupplementaryDataRule**

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

## **6.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **6.4.1 BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>**

*Presence:* [1..1]

*Definition:* Identification of the related buyer protection instruction document for which the cancellation is requested.

**BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>** contains the following elements (see "DocumentIdentification57" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyerProtectionInstructionIdentification <BuyrPrtcnInstrId>	[1..1]	Text		158
	ProcessorInstructionIdentification <PrctrInstrId>	[0..1]	Text		158

## 6.4.2 ProcessorTransactionIdentification <PrctrTxId>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

## 6.4.3 CorporateActionGeneralInformation <CorpActnGnInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C13 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnInf>** contains the following **CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		74
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		75
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	75
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		75

### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 6.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

**6.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>***Presence:* [0..1]*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.*Datatype:* "Max35Text" on page 223**6.4.3.3 EventType <EvtTp>***Presence:* [1..1]*Definition:* Type of corporate action event.*Impacted by:* C8 "EventTypeRule"**EventType <EvtTp>** contains one of the following elements (see "CorporateActionEventType125Choice" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

**Constraints**

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**6.4.3.4 FinancialInstrumentIdentification <FinInstrmId>***Presence:* [0..1]*Definition:* Identifies the financial instrument.*Datatype:* "ISINOct2015Identifier" on page 219**6.4.4 InstructionCancellationRequestStatus  
<InstrCxlReqSts>***Presence:* [1..\*]*Definition:* Provides information about the processing status of the instruction cancellation request.

**InstructionCancellationRequestStatus <InstrCxlReqSts>** contains one of the following **InstructionCancellationRequestStatus20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>CancellationCompleted</b> <CxlCmpltd>	[1..1]	CodeSet		76
Or	<b>Rejected</b> <Rjctd>	[1..1]			76
{Or	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			77
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		77
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		78
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		79

#### 6.4.4.1 CancellationCompleted <CxlCmpltd>

*Presence:* [1..1]

*Definition:* Provides status information related to an instruction cancellation request completed.

*Datatype:* "NoReasonCode" on page 213

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

#### 6.4.4.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Provides status information related to a cancellation request rejected for further processing due to system (data) reasons.

**Rejected <Rjctd>** contains one of the following **RejectedStatus62Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			77
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		77
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78

**6.4.4.2.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* Reason not specified.*Datatype:* "NoReasonCode" on page 213

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

**6.4.4.2.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the rejected status.*Impacted by:* C2 "AdditionalReasonInformationRule"**Reason <Rsn>** contains the following **RejectedStatusReason61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			77
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		77
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78

**Constraints**

- AdditionalReasonInformationRule**

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

**6.4.4.2.2.1 ReasonCode <RsnCd>***Presence:* [1..1]*Definition:* Specifies the reason why the instruction or instruction cancellation has been rejected.**ReasonCode <RsnCd>** contains one of the following **RejectedReason64Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		77
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78

**6.4.4.2.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.*Datatype:* "RejectionReason88Code" on page 216

CodeName	Name	Definition
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
ECMD	ElectionToCounterpartyMarketDeadlineMissed	Received after the election to counterparty market deadline.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.

#### 6.4.4.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 6.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* "[Max210Text](#)" on page 222

#### 6.4.4.3 PendingCancellation <PdgCxl>

*Presence:* [1..1]

*Definition:* Provides status information related to a pending cancellation request.

**PendingCancellation <PdgCxl>** contains one of the following elements (see "PendingCancellationStatus17Choice" on page 198 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpctdRsn>	[1..1]	CodeSet		198
Or}	Reason <Rsn>	[1..*]		C3	199
	ReasonCode <RsnCd>	[1..1]			199
{Or	Code <Cd>	[1..1]	CodeSet		199
Or}	Proprietary <Prtry>	[1..1]	±		200
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		200

#### 6.4.4.4 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to an instruction cancellation request.

**ProprietaryStatus <PrtrySts>** contains the following elements (see "ProprietaryStatusAndReason6" on page 200 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		200
	ProprietaryReason <PrtryRsn>	[0..*]	±	C4	201

#### 6.4.5 RelatedSettlementInstruction <RltdSttlmInstr>

*Presence:* [0..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* C12 "MarketInfrastructureOrProcessorTransactionIdentificationRule"

**RelatedSettlementInstruction <RltdSttlmInstr>** contains the following **RelatedSettlementInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfstrctrTxId>	[0..1]	Text		80
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		80
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		80
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		80

**Constraints**

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**6.4.5.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

**6.4.5.2 ProcessorTransactionIdentification <PrctrTxId>**

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

**6.4.5.3 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

**6.4.5.4 UniqueTransactionIdentifier <UnqTxIdr>**

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

**6.4.6 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		80
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>	[1..1]	Text		81

**6.4.6.1 SafekeepingAccount <SfkpgAcct>**

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

Datatype: "Max35Text" on page 223

#### 6.4.6.2 BlockchainAddressOrWallet <BlckChainAdrOrWlIt>

Presence: [1..1]

Definition: Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

Datatype: "Max140Text" on page 222

### 6.4.7 CorporateActionElection <CorpActnElctn>

Presence: [0..1]

Definition: Buyer protection elected option.

**CorporateActionElection <CorpActnElctn>** contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		81
	<b>OptionType</b> <OptnTp>	[1..1]	±		81
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	82
	<b>PriceDetails</b> <PricDtls>	[0..1]		C9	82
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		82
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		83
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C5, C6, C10, C11, C14	83

#### 6.4.7.1 OptionNumber <OptnNb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 221

#### 6.4.7.2 OptionType <OptnTp>

Presence: [1..1]

Definition: Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "[CorporateActionOption47Choice](#)" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 6.4.7.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

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

*Datatype:* "[ActiveCurrencyCode](#)" on page 204

##### 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.

#### 6.4.7.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C9 "GenericCashPricePerProductGuideline"](#)

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		82
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		83

##### Constraints

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

##### 6.4.7.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 6.4.7.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 6.4.7.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C5 "DescriptionPresenceRule", C6 "DescriptionUsageRule", C10 "ISINGuideline", C11 "ISINPresenceRule", C14 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

### Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

## 6.4.8 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by: C15 "SupplementaryDataRule"*

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

# 7 **seev.064.001.01**

## **BuyerProtectionInstructionAllegementNotificationV01**

### 7.1 **MessageDefinition Functionality**

#### Scope

An account servicer sends a BuyerProtectionInstructionAllegementNotification to an account owner to advise the account owner that a counterparty has alleged a Buyer Protection Instruction against the account owner's account at the account servicer. An action may be required by the account owner.

#### Usage

The message may also be used to:

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

#### Outline

The BuyerProtectionInstructionAllegementNotificationV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. ProcessorTransactionIdentification

Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

B. CorporateActionGeneralInformation

General information about the corporate action event.

C. RelatedSettlementInstruction

Details of the buyer protected settlement instruction.

D. AccountIdentification

Selected safekeeping accounts list to which the corporate action event applies.

E. CorporateActionElection

Buyer protection elected option.

F. SupplementaryData

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

## 7.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyrPrtcnInstrAllgmtNtfctn>	[1..1]			
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[1..1]	Text		90
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C14	90
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		90
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		90
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	91
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		91
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[1..1]		C13	91
	<b>MarketInfrastructureTransactionIdentification</b> <MktlnfrstrctrTxId>	[0..1]	Text		92
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		92
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		93
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		93
	<b>SecuritiesMovementType</b> <SctiesMvmntTp>	[1..1]	CodeSet		93
	<b>Payment</b> <Pmt>	[1..1]	CodeSet		93
	<b>TradeDate</b> <TradDt>	[0..1]	±		93
	<b>SettlementDate</b> <SttlmDt>	[1..1]	±		94
	<b>SettlementQuantity</b> <SttlmQty>	[1..1]	±		94
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	±		94
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C2	95
	<b>Identification</b> <Id>	[1..1]			95
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C3	95
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		96
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C4	96
	<b>ProcessingIdentification</b> <Prcgld>	[0..1]	Text		96
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		96
	<b>AccountIdentification</b> <AcctId>	[0..1]			97
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		97
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		97
	<b>CorporateActionElection</b> <CorpActnElctn>	[1..1]			97

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		98
	<b>OptionType</b> <OptnTp>	[1..1]	±		98
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	98
	<b>PriceDetails</b> <PricDtls>	[0..1]		C10	99
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		99
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		100
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C15	100
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C16	101

## 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 AdditionalInformationRule

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

### 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 Country

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

### C5 CurrencyAmount

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

Note: The decimal separator is a dot.

### C6 DescriptionPresenceRule

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

### C7 DescriptionUsageRule

Description must be used alone as the last resort.

**C8 DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C9 EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**C10 GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**C11 ISINGuideline**

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

**C12 ISINPresenceRule**

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

**C13 MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**C14 OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C15 OtherIdentificationPresenceRule**

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

**C16 SupplementaryDataRule**

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

## 7.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 7.4.1 ProcessorTransactionIdentification <PrcrTxId>

*Presence:* [1..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

## 7.4.2 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C14 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		90
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		90
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	91
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		91

### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 7.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

### 7.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* "Max35Text" on page 223

### 7.4.2.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* C9 "EventTypeRule"

**EventType <EvtTp>** contains one of the following elements (see "CorporateActionEventType125Choice" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

#### Constraints

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### 7.4.2.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Datatype:* "ISINOct2015Identifier" on page 219

## 7.4.3 RelatedSettlementInstruction <RltdSttlmInstr>

*Presence:* [1..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* C13 "MarketInfrastructureOrProcessorTransactionIdentificationRule"

**RelatedSettlementInstruction** <RltdSttlmInstr> contains the following  
**RelatedSettlementInstruction3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxld>	[0..1]	Text		92
	<b>ProcessorTransactionIdentification</b> <PrcrTxld>	[0..1]	Text		92
	<b>UniqueTransactionIdentifier</b> <UnqTxldr>	[0..1]	IdentifierSet		93
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrld>	[0..1]	Text		93
	<b>SecuritiesMovementType</b> <SctiesMvmntTp>	[1..1]	CodeSet		93
	<b>Payment</b> <Pmt>	[1..1]	CodeSet		93
	<b>TradeDate</b> <TradDt>	[0..1]	±		93
	<b>SettlementDate</b> <SttlmDt>	[1..1]	±		94
	<b>SettlementQuantity</b> <SttlmQty>	[1..1]	±		94
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	±		94
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C2	95
	<b>Identification</b> <Id>	[1..1]			95
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C3	95
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		96
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C4	96
	<b>ProcessingIdentification</b> <Prcgld>	[0..1]	Text		96
	<b>AlternateIdentification</b> <Altrnld>	[0..*]	±		96

#### Constraints

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### 7.4.3.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### 7.4.3.2 ProcessorTransactionIdentification <PrcrTxld>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner, the account servicer or the market infrastructure.

---

*Datatype:* "Max35Text" on page 223

### 7.4.3.3 UniqueTransactionIdentifier <UnqTxldr>

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

### 7.4.3.4 RelatedSettlementInstructionIdentification <RltdSttlmInstrld>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

### 7.4.3.5 SecuritiesMovementType <SctiesMvmntTp>

*Presence:* [1..1]

*Definition:* Specifies if the movement on a securities account results from a deliver or a receive instruction.

*Datatype:* "ReceiveDelivery1Code" on page 215

CodeName	Name	Definition
DELI	Delivery	Financial instruments will be debited from the safekeeping account.
RECE	Receive	Financial instruments will be credited to the safekeeping account.

### 7.4.3.6 Payment <Pmt>

*Presence:* [1..1]

*Definition:* Specifies how the transaction is to be settled, for example, against payment.

*Datatype:* "DeliveryReceiptType2Code" on page 211

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).

### 7.4.3.7 TradeDate <TradDt>

*Presence:* [0..1]

*Definition:* Specifies the date/time on which the trade was executed.

**TradeDate <TradDt>** contains one of the following elements (see "[TradeDate8Choice](#)" on page 146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		146
Or}	DateCode <DtCd>	[1..1]			146
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	±		147

#### 7.4.3.8 SettlementDate <SttlmDt>

*Presence:* [1..1]

*Definition:* Date and time at which the securities are to be delivered or received.

**SettlementDate <SttlmDt>** contains one of the following elements (see "[SettlementDate17Choice](#)" on page 147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		147
Or}	DateCode <DtCd>	[1..1]	±		147

#### 7.4.3.9 SettlementQuantity <SttlmQty>

*Presence:* [1..1]

*Definition:* Total quantity of securities to be settled.

**SettlementQuantity <SttlmQty>** contains one of the following elements (see "[Quantity51Choice](#)" on page 197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C8	197
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		197

#### 7.4.3.10 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money to be paid or received in exchange for the securities.

**SettlementAmount <SttlmAmt>** contains the following elements (see "[AmountAndDirection110](#)" on page 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1, C5	145
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		145

### 7.4.3.11 CounterpartyDepository <CtrPtyDpstry>

*Presence:* [0..1]

*Definition:* First receiving party in the settlement chain. In a plain vanilla settlement, it is the central securities depository where the receiving side of the transaction requests to receive the financial instrument.

*Impacted by:* C2 "AdditionalInformationRule"

**CounterpartyDepository <CtrPtyDpstry>** contains the following **PartyIdentification143** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]			95
{Or	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C3	95
Or	<b>NameAndAddress &lt;NmAndAdr&gt;</b>	[1..1]	±		96
Or}	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C4	96
	<b>ProcessingIdentification &lt;PrctlId&gt;</b>	[0..1]	Text		96
	<b>AlternateIdentification &lt;AltrnId&gt;</b>	[0..*]	±		96

#### Constraints

- **AdditionalInformationRule**

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

#### 7.4.3.11.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C3	95
Or	<b>NameAndAddress &lt;NmAndAdr&gt;</b>	[1..1]	±		96
Or}	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C4	96

##### 7.4.3.11.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C3 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 219

**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.

**7.4.3.11.1.2 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		183
	Address <Adr>	[0..1]	±		183

**7.4.3.11.1.3 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C4 "Country"

*Datatype:* "[CountryCode](#)" on page 210

**Constraints**

- **Country**

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

**7.4.3.11.2 ProcessingIdentification <PrcgId>**

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* "[Max35Text](#)" on page 223

**7.4.3.11.3 AlternateIdentification <AltrnId>**

*Presence:* [0..\*]

*Definition:* Provides alternate identification for a party using an id type, a country code and a text field.

**AlternateIdentification <AltrnId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		173
	Country <Ctry>	[1..1]	CodeSet	C3	173
	AlternateIdentification <AltrnId>	[1..1]	Text		173

## 7.4.4 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		97
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		97

### 7.4.4.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "[Max35Text](#)" on page 223

### 7.4.4.2 BlockChainAddressOrWallet <BlckChainAdrOrWlt>

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "[Max140Text](#)" on page 222

## 7.4.5 CorporateActionElection <CorpActnElctn>

*Presence:* [1..1]

*Definition:* Buyer protection elected option.

**CorporateActionElection <CorpActnElctn>** contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		98
	<b>OptionType</b> <OptnTp>	[1..1]	±		98
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	98
	<b>PriceDetails</b> <PricDtls>	[0..1]		C10	99
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		99
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		100
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C15	100

#### 7.4.5.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 7.4.5.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 7.4.5.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 204

##### 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.

#### 7.4.5.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* C10 "GenericCashPricePerProductGuideline"

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		99
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		100

#### Constraints

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

##### 7.4.5.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 7.4.5.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 7.4.5.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C6 "DescriptionPresenceRule", C7 "DescriptionUsageRule", C11 "ISINGuideline", C12 "ISINPresenceRule", C15 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrlId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

#### Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

## 7.4.6 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by: C16 "SupplementaryDataRule"*

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

# 8 seev.065.001.01 BuyerProtectionInstructionAllegementRemovalAdviceV01

## 8.1 MessageDefinition Functionality

### Scope

An account servicer sends a BuyerProtectionInstructionAllegementRemovalAdvice message to an account owner to acknowledge that a previously sent Buyer Protection Instruction Allegement is no longer outstanding.

### Usage

The message may also be used to:

- re-send a message previously sent,
- provide a third party with a copy of a message for information,
- re-send to a third party a copy of a message for information

using the relevant elements in the Business Application Header.

### Outline

The BuyerProtectionInstructionAllegementRemovalAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

#### A. ProcessorTransactionIdentification

Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

#### B. AllegementRemovalReason

Reason for the removal of the buyer protection allegement.

#### C. CorporateActionGeneralInformation

General information about the corporate action event.

#### D. RelatedSettlementInstruction

Details of the buyer protected settlement instruction.

#### E. AccountIdentification

Selected safekeeping accounts list to which the corporate action event applies.

#### F. CorporateActionElection

Buyer protection elected option.

#### G. SupplementaryData

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> <BuyrPrtcnInstrAllgmtRmvlAdv>	[1..1]			
	<b>ProcessorTransactionIdentification</b> <PrcrTxld>	[1..1]	Text		106
	<b>AllegementRemovalReason</b> <AllgmtRmvlRsn>	[1..1]	CodeSet		106
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C10	106
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		107
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		107
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	107
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	IdentifierSet		108
	<b>RelatedSettlementInstruction</b> <RltdSttlmInstr>	[0..1]		C9	108
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxld>	[0..1]	Text		108
	<b>ProcessorTransactionIdentification</b> <PrcrTxld>	[0..1]	Text		109
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrld>	[0..1]	Text		109
	<b>UniqueTransactionIdentifier</b> <UnqTxldr>	[0..1]	IdentifierSet		109
	<b>AccountIdentification</b> <Acctld>	[0..1]			109
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		109
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		109
	<b>CorporateActionElection</b> <CorpActnElctn>	[0..1]			109
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		110
	<b>OptionType</b> <OptnTp>	[1..1]	±		110
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	110
	<b>PriceDetails</b> <PricDtls>	[0..1]		C6	111
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		111
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		112
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	±	C2, C3, C7, C8, C11	112
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C12	113

## 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 **DescriptionPresenceRule**

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

### C3 **DescriptionUsageRule**

Description must be used alone as the last resort.

### C4 **DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### C5 **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### C6 **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

### C7 **ISINGuideline**

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

### C8 **ISINPresenceRule**

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

### C9 **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

### C10 **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C11 OtherIdentificationPresenceRule**

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

#### **C12 SupplementaryDataRule**

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

## **8.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **8.4.1 ProcessorTransactionIdentification <PcrTxId>**

*Presence:* [1..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

### **8.4.2 AllegementRemovalReason <AllgmtRmvIRsn>**

*Presence:* [1..1]

*Definition:* Reason for the removal of the buyer protection allegement.

*Datatype:* "AllegementRemovalReason1Code" on page 204

CodeName	Name	Definition
CANC	Cancelled	Allegement removed as the counterparty has cancelled its instruction.
REMO	Removed	Allegement removed as a matching instruction has been received.

### **8.4.3 CorporateActionGeneralInformation <CorpActnGnlInf>**

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C10 "OfficialCorporateActionEventReference"

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following  
**CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		107
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		107
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	107
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		108

#### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 8.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 8.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 8.4.3.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* C5 "EventTypeRule"

**EventType <EvtTp>** contains one of the following elements (see "CorporateActionEventType125Choice" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

**Constraints**

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**8.4.3.4 FinancialInstrumentIdentification <FinInstrmId>**

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Datatype:* "ISINOct2015Identifier" on page 219

**8.4.4 RelatedSettlementInstruction <RltdSttlmInstr>**

*Presence:* [0..1]

*Definition:* Details of the buyer protected settlement instruction.

*Impacted by:* C9 "MarketInfrastructureOrProcessorTransactionIdentificationRule"

**RelatedSettlementInstruction <RltdSttlmInstr>** contains the following

**RelatedSettlementInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		108
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		109
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		109
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		109

**Constraints**

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**8.4.4.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

**8.4.4.2 ProcessorTransactionIdentification <PcrTxId>***Presence:* [0..1]*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.*Datatype:* "Max35Text" on page 223**8.4.4.3 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>***Presence:* [0..1]*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.*Datatype:* "Max35Text" on page 223**8.4.4.4 UniqueTransactionIdentifier <UnqTxIdr>***Presence:* [0..1]*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.*Datatype:* "UTIIdentifier" on page 220**8.4.5 AccountIdentification <AcctId>***Presence:* [0..1]*Definition:* Selected safekeeping accounts list to which the corporate action event applies.**AccountIdentification <AcctId>** contains one of the following  
**SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		109
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[1..1]	Text		109

**8.4.5.1 SafekeepingAccount <SfkpgAcct>***Presence:* [1..1]*Definition:* Account where financial instruments are maintained.*Datatype:* "Max35Text" on page 223**8.4.5.2 BlockChainAddressOrWallet <BlckChainAdrOrWlIt>***Presence:* [1..1]*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.*Datatype:* "Max140Text" on page 222**8.4.6 CorporateActionElection <CorpActnElctn>***Presence:* [0..1]

*Definition:* Buyer protection elected option.

**CorporateActionElection** <CorpActnElctn> contains the following **CorporateActionElection4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		110
	<b>OptionType</b> <OptnTp>	[1..1]	±		110
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	110
	<b>PriceDetails</b> <PricDtls>	[0..1]		C6	111
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		111
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		112
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C2, C3, C7, C8, C11	112

#### 8.4.6.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 8.4.6.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType** <OptnTp> contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 8.4.6.3 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which cash proceeds are to be credited or debited.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 204

**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.

**8.4.6.4 PriceDetails <PricDtls>**

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* C6 "GenericCashPricePerProductGuideline"

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice99** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		111
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		112

**Constraints**

- **GenericCashPricePerProductGuideline**

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**8.4.6.4.1 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see "PriceFormat66Choice" on page 190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 8.4.6.4.2 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see "PriceFormat50Choice" on page 194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 8.4.6.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C2 "DescriptionPresenceRule", C3 "DescriptionUsageRule", C7 "ISINGuideline", C8 "ISINPresenceRule", C11 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

### 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
```

## 8.4.7 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by: C12 "SupplementaryDataRule"*

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

# 9 **seev.066.001.01** **BuyerProtectionInstructionReportRequestV01**

## 9.1 **MessageDefinition Functionality**

### Scope

The BuyerProtectionInstructionReportRequest message is sent by an account owner or its designated agent to an account servicer to request a report of all buyer protection instructions at the safekeeping account level for one or more corporate action events or at the corporate action event level for one or more safekeeping accounts.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The BuyerProtectionInstructionReportRequestV01 MessageDefinition is composed of 3 MessageBuildingBlocks:

#### A. QueryReference

Identification of the SecuritiesStatementQuery message sent to request this statement.

#### B. BuyerProtectionSelectionCriteria

Defines the buyer protection instruction query criteria.

#### C. SupplementaryData

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

## 9.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyrPrtcnInstrRptReq>	[1..1]			
	<b>QueryReference</b> <QryRef>	[0..1]	Text		116
	<b>BuyerProtectionSelectionCriteria</b> <BuyrPrtcnSelctnCrit>	[1..1]			117
	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]			117
	<b>BICFI</b> <BICFI>	[0..1]	IdentifierSet	C1	118
	<b>LEI</b> <LEI>	[0..1]	IdentifierSet		118
	<b>Other</b> <Othr>	[0..1]	±		118
	<b>AccountIdentification</b> <AcctId>	[0..1]			118
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		119
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		119
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		119
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[0..1]	Text		119
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		119
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		119
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		119
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C2	120

## 9.3 Constraints

### C1 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.

### C2 SupplementaryDataRule

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

## 9.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 9.4.1 QueryReference <QryRef>

Presence: [0..1]

*Definition:* Identification of the SecuritiesStatementQuery message sent to request this statement.

*Datatype:* "Max35Text" on page 223

## 9.4.2 BuyerProtectionSelectionCriteria <BuyrPrctnSelctnCrit>

*Presence:* [1..1]

*Definition:* Defines the buyer protection instruction query criteria.

**BuyerProtectionSelectionCriteria** <BuyrPrctnSelctnCrit> contains the following **BuyerProtectionSelectionCriteria1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstitutionIdentification</b> <FIld>	[1..1]			117
	<b>BICFI</b> <BICFI>	[0..1]	IdentifierSet	C1	118
	<b>LEI</b> <LEI>	[0..1]	IdentifierSet		118
	<b>Other</b> <Othr>	[0..1]	±		118
	<b>AccountIdentification</b> <AcctId>	[0..1]			118
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		119
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		119
	<b>ISIN</b> <ISIN>	[0..1]	IdentifierSet		119
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[0..1]	Text		119
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		119
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		119
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		119

### 9.4.2.1 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

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

**FinancialInstitutionIdentification** <FIld> contains the following **FinancialInstitutionIdentification28** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BICFI</b> <BICFI>	[0..1]	IdentifierSet	C1	118
	<b>LEI</b> <LEI>	[0..1]	IdentifierSet		118
	<b>Other</b> <Othr>	[0..1]	±		118

**9.4.2.1.1 BICFI <BICFI>***Presence:* [0..1]*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".*Impacted by:* C1 "BICFI"*Datatype:* "BICFIDec2014Identifier" on page 219**Constraints**

- **BICFI**

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

**9.4.2.1.2 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identifier of the financial institution.*Datatype:* "LEIIdentifier" on page 220**9.4.2.1.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of an agent, as assigned by an institution, using an identification scheme.**Other <Othr>** contains the following elements (see "[GenericFinancialIdentification1](#)" on page 152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		152
	SchemeName <SchmeNm>	[0..1]			153
{Or	Code <Cd>	[1..1]	CodeSet		153
Or}	Proprietary <Prtry>	[1..1]	Text		153
	Issuer <Issr>	[0..1]	Text		153

**9.4.2.2 AccountIdentification <AcctId>***Presence:* [0..1]*Definition:* Selected safekeeping accounts list to which the corporate action event applies.**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		119
Or}	BlockchainAddressOrWallet <BlckChainAdrOrWlt>	[1..1]	Text		119

**9.4.2.2.1 SafekeepingAccount <SfkpgAcct>**

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 223

**9.4.2.2.2 BlockchainAddressOrWallet <BlckChainAdrOrWllet>**

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "Max140Text" on page 222

**9.4.2.3 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 219

**9.4.2.4 CorporateActionEventIdentification <CorpActnEvtId>**

*Presence:* [0..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

**9.4.2.5 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

**9.4.2.6 ProcessorTransactionIdentification <PrcrTxId>**

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

**9.4.2.7 UniqueTransactionIdentifier <UnqTxIdr>**

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIIdentifier" on page 220

### 9.4.3 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C2 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

# 10      **seev.067.001.01**

## **BuyerProtectionInstructionReportV01**

### 10.1    **MessageDefinition Functionality**

#### Scope

The BuyerProtectionInstructionReport message is sent by an account servicer to an account owner or its designated agent to report the status of all Buyer Protection Instructions in response to a Buyer Protection Instruction Report Request.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The BuyerProtectionInstructionReportV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

##### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

##### B. StatementGeneralDetails

Provides general information to the report.

##### C. FinancialInstitutionIdentification

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

##### D. CorporateActionDetails

Information about the related Corporate Action event required for Buyer Protection.

##### E. SupplementaryData

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

## 10.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyrPrtcnInstrRpt>	[1..1]			
	<b>Pagination</b> <Pgntn>	[0..1]	±		125
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]	±		125
	<b>FinancialInstitutionIdentification</b> <FIld>	[1..1]			125
	<b>BICFI</b> <BICFI>	[0..1]	IdentifierSet	C6	126
	<b>LEI</b> <LEI>	[0..1]	IdentifierSet		126
	<b>Other</b> <Othr>	[0..1]	±		126
	<b>CorporateActionDetails</b> <CorpActnDtls>	[1..*]			126
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C10	128
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		129
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		129
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	129
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	IdentifierSet		129
	<b>CorporateActionOption</b> <CorpActnOptn>	[1..1]			130
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		132
	<b>OptionType</b> <OptnTp>	[1..1]	±		132
	<b>BuyerProtectionInstructionDetails</b> <BuyrPrtcnInstrDtls>	[1..*]			132
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcnInstrld>	[1..1]	±		134
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrld>	[1..1]		C9	134
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxld>	[0..1]	Text		134
	<b>ProcessorTransactionIdentification</b> <PrctrTxld>	[0..1]	Text		135
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrld>	[0..1]	Text		135
	<b>UniqueTransactionIdentifier</b> <UnqTxldr>	[0..1]	IdentifierSet		135
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C1	135
	<b>Identification</b> <Id>	[1..1]			136
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ProcessingIdentification</b> <PrcgId>	[0..1]	Text		137
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		137
	<b>AccountIdentification</b> <AcctId>	[1..1]			137
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		137
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		137
	<b>InstructionProcessingStatus</b> <InstrPrcgSts>	[1..1]			138
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConfd>	[1..1]	CodeSet		138
Or	<b>Rejected</b> <Rjctd>	[1..1]			139
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141
Or	<b>Pending</b> <Pdg>	[1..1]			141
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		143
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C11	144

## 10.3 Constraints

### C1 AdditionalInformationRule

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

### C2 AdditionalReasonInformationRule

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

**C3 AdditionalReasonInformationRule**

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

**C4 AdditionalReasonInformationRule**

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

**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 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 Country**

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

**C8 EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

**C9 MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

**C10 OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C11 SupplementaryDataRule**

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

## 10.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 10.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

**Pagination <Pgntn>** contains the following elements (see "Pagination1" on page 165 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		166
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		166

## 10.4.2 StatementGeneralDetails <StmntGnIDtls>

*Presence:* [1..1]

*Definition:* Provides general information to the report.

**StatementGeneralDetails <StmntGnIDtls>** contains the following elements (see "Statement87" on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	QueryReference <QryRef>	[0..1]	Text		169
	StatementIdentification <StmntId>	[0..1]	Text		169
	StatementDateTime <StmntDtTm>	[1..1]	±		170
	Frequency <Frqcy>	[0..1]	±		170
	UpdateType <UpdTp>	[1..1]	±		170
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		170

## 10.4.3 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

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

**FinancialInstitutionIdentification <FIld>** contains the following **FinancialInstitutionIdentification28** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BICFI</b> <BICFI>	[0..1]	IdentifierSet	C6	126
	<b>LEI</b> <LEI>	[0..1]	IdentifierSet		126
	<b>Other</b> <Othr>	[0..1]	±		126

**10.4.3.1 BICFI <BICFI>***Presence:* [0..1]*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".*Impacted by:* C6 "BICFI"*Datatype:* "BICFIDec2014Identifier" on page 219**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.

**10.4.3.2 LEI <LEI>***Presence:* [0..1]*Definition:* Legal entity identifier of the financial institution.*Datatype:* "LEIIdentifier" on page 220**10.4.3.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of an agent, as assigned by an institution, using an identification scheme.**Other <Othr>** contains the following elements (see "GenericFinancialIdentification1" on page 152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		152
	SchemeName <SchmeNm>	[0..1]			153
{Or	Code <Cd>	[1..1]	CodeSet		153
Or}	Proprietary <Prtry>	[1..1]	Text		153
	Issuer <Issr>	[0..1]	Text		153

**10.4.4 CorporateActionDetails <CorpActnDtls>***Presence:* [1..\*]*Definition:* Information about the related Corporate Action event required for Buyer Protection.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateActionDetails1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C10	128
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		129
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		129
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	129
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		129
	<b>CorporateActionOption</b> <CorpActnOptn>	[1..1]			130
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		132
	<b>OptionType</b> <OptnTp>	[1..1]	±		132
	<b>BuyerProtectionInstructionDetails</b> <BuyrPrtcInstrDtls>	[1..*]			132
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcInstrId>	[1..1]	±		134
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[1..1]		C9	134
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		134
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		135
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		135
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		135
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C1	135
	<b>Identification</b> <Id>	[1..1]			136
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136
	<b>ProcessingIdentification</b> <PrcgId>	[0..1]	Text		137
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		137
	<b>AccountIdentification</b> <AcctId>	[1..1]			137
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		137
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>	[1..1]	Text		137
	<b>InstructionProcessingStatus</b> <InstrPrcgSts>	[1..1]			138
{Or	<b>AcceptedAndConfirmed</b> <AcceptdAndConfd>	[1..1]	CodeSet		138
Or	<b>Rejected</b> <Rjctd>	[1..1]			139

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141
Or	<b>Pending</b> <Pdg>	[1..1]			141
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		143

#### 10.4.4.1 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C10 "OfficialCorporateActionEventReference"](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation195** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		129
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		129
	<b>EventType</b> <EvtTp>	[1..1]	±	C8	129
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	IdentifierSet		129

#### Constraints

- **OfficialCorporateActionEventReference**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). These recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 10.4.4.1.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.1.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.1.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* C8 "EventTypeRule"

**EventType <EvtTp>** contains one of the following elements (see "CorporateActionEventType125Choice" on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

#### Constraints

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### 10.4.4.1.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Datatype:* "ISINOct2015Identifier" on page 219

#### **10.4.4.2 CorporateActionOption <CorpActnOptn>**

*Presence:* [1..1]

*Definition:* Selected buyer protection instructions options.

**CorporateActionOption <CorpActnOptn>** contains the following  
**CorporateActionOptionStatement1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		132
	<b>OptionType</b> <OptnTp>	[1..1]	±		132
	<b>BuyerProtectionInstructionDetails</b> <BuyrPrtcInstrDtls>	[1..*]			132
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcInstrId>	[1..1]	±		134
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[1..1]		C9	134
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		134
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		135
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		135
	<b>UniqueTransactionIdentifier</b> <UnqTxId>	[0..1]	IdentifierSet		135
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C1	135
	<b>Identification</b> <Id>	[1..1]			136
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136
	<b>ProcessingIdentification</b> <PrcgId>	[0..1]	Text		137
	<b>AlternateIdentification</b> <AltrId>	[0..*]	±		137
	<b>AccountIdentification</b> <AcctId>	[1..1]			137
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		137
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		137
	<b>InstructionProcessingStatus</b> <InstrPrcgSts>	[1..1]			138
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConfd>	[1..1]	CodeSet		138
Or	<b>Rejected</b> <Rjctd>	[1..1]			139
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>Pending</b> <Pdg>	[1..1]			141
{Or	<b>NoSpecifiedReason</b> <NoSpcedRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		143

#### 10.4.4.2.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* "Exact3NumericText" on page 221

#### 10.4.4.2.2 OptionType <OptnTp>

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

**OptionType <OptnTp>** contains one of the following elements (see "CorporateActionOption47Choice" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		168
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		169

#### 10.4.4.2.3 BuyerProtectionInstructionDetails <BuyrPrtcInstrDtls>

*Presence:* [1..\*]

*Definition:* Buyer protection instruction information.

**BuyerProtectionInstructionDetails <BuyrPrtcnInstrDtls>** contains the following  
**BuyerProtectionInstructionDetails1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BuyerProtectionInstructionIdentification</b> <BuyrPrtcnInstrId>	[1..1]	±		134
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[1..1]		C9	134
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		134
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		135
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		135
	<b>UniqueTransactionIdentifier</b> <UnqTxId>	[0..1]	IdentifierSet		135
	<b>CounterpartyDepository</b> <CtrPtyDpstry>	[0..1]		C1	135
	<b>Identification</b> <Id>	[1..1]			136
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136
	<b>ProcessingIdentification</b> <PrctlId>	[0..1]	Text		137
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		137
	<b>AccountIdentification</b> <AcctId>	[1..1]			137
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		137
Or}	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[1..1]	Text		137
	<b>InstructionProcessingStatus</b> <InstrPrctlSts>	[1..1]			138
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConfd>	[1..1]	CodeSet		138
Or	<b>Rejected</b> <Rjctd>	[1..1]			139
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141
Or	<b>Pending</b> <Pdg>	[1..1]			141
{Or	<b>NoSpecifiedReason</b> <NoSpctdRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		143

#### 10.4.4.2.3.1 BuyerProtectionInstructionIdentification <BuyrPrtcInstrId>

*Presence:* [1..1]

*Definition:* Identification of the related buyer protection instruction document for which the cancellation is requested.

**BuyerProtectionInstructionIdentification <BuyrPrtcInstrId>** contains the following elements (see "DocumentIdentification57" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyerProtectionInstructionIdentification <BuyrPrtcInstrId>	[1..1]	Text		158
	ProcessorInstructionIdentification <PrctrInstrId>	[0..1]	Text		158

#### 10.4.4.2.3.2 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

*Presence:* [1..1]

*Definition:* Set of elements used to identify the buyer protected settlement instruction.

*Impacted by:* C9 "MarketInfrastructureOrProcessorTransactionIdentificationRule"

**RelatedSettlementInstructionIdentification <RltdSttlmInstrId>** contains the following **RelatedSettlementInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[0..1]	Text		134
	<b>ProcessorTransactionIdentification</b> <PrctrTxId>	[0..1]	Text		135
	<b>RelatedSettlementInstructionIdentification</b> <RltdSttlmInstrId>	[0..1]	Text		135
	<b>UniqueTransactionIdentifier</b> <UnqTxIdr>	[0..1]	IdentifierSet		135

#### Constraints

- **MarketInfrastructureOrProcessorTransactionIdentificationRule**

Either MarketInfrastructureTransactionIdentification or ProcessorTransactionIdentification must be present, both may be present.

#### 10.4.4.2.3.2.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### 10.4.4.2.3.2.2 ProcessorTransactionIdentification <PrctrTxId>

*Presence:* [0..1]

*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner the account servicer and the market infrastructure.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.2.3.2.3 RelatedSettlementInstructionIdentification <RltdSttlmInstrId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the related settlement instruction assigned by the account holder.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.2.3.2.4 UniqueTransactionIdentifier <UnqTxIdr>

*Presence:* [0..1]

*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.

*Datatype:* "UTIdentifier" on page 220

#### 10.4.4.2.3.3 CounterpartyDepository <CtrPtyDpstry>

*Presence:* [0..1]

*Definition:* First receiving party in the settlement chain. In a plain vanilla settlement, it is the central securities depository where the receiving side of the transaction requests to receive the financial instrument.

*Impacted by:* C1 "AdditionalInformationRule"

**CounterpartyDepository <CtrPtyDpstry>** contains the following **PartyIdentification143** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]			136
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136
	<b>ProcessingIdentification</b> <PrctlId>	[0..1]	Text		137
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		137

**Constraints**

- **AdditionalInformationRule**

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

**10.4.4.2.3.3.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C5	136
Or	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		136
Or}	<b>Country</b> <Ctry>	[1..1]	CodeSet	C7	136

**10.4.4.2.3.3.1.1 AnyBIC <AnyBIC>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C5 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 219

**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.

**10.4.4.2.3.3.1.2 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		183
	Address <Adr>	[0..1]	±		183

**10.4.4.2.3.3.1.3 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C7 "Country"

*Datatype:* "CountryCode" on page 210

#### Constraints

- **Country**

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

#### 10.4.4.2.3.3.2 ProcessingIdentification <PrcgId>

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.2.3.3.3 AlternateIdentification <AltrnId>

*Presence:* [0..\*]

*Definition:* Provides alternate identification for a party using an id type, a country code and a text field.

**AlternateIdentification <AltrnId>** contains the following elements (see "AlternatePartyIdentification7" on page 173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		173
	Country <Ctry>	[1..1]	CodeSet	C3	173
	AlternateIdentification <AltrnId>	[1..1]	Text		173

#### 10.4.4.2.3.4 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

**AccountIdentification <AcctId>** contains one of the following **SecuritiesAccountIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		137
Or}	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[1..1]	Text		137

#### 10.4.4.2.3.4.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 223

#### 10.4.4.2.3.4.2 BlockChainAddressOrWallet <BlckChainAdrOrWlIt>

*Presence:* [1..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "Max140Text" on page 222

#### 10.4.4.2.3.5 InstructionProcessingStatus <InstrPrcgSts>

*Presence:* [1..1]

*Definition:* Information about the processing status of the instruction.

**InstructionProcessingStatus <InstrPrcgSts>** contains one of the following **InstructionProcessingStatus59Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AcceptedAndConfirmed</b> <AccptdAndConf>	[1..1]	CodeSet		138
Or	<b>Rejected</b> <Rjctd>	[1..1]			139
{Or	<b>NoSpecifiedReason</b> <NoSpcfdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141
Or	<b>Pending</b> <Pdg>	[1..1]			141
{Or	<b>NoSpecifiedReason</b> <NoSpcfdRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		143

##### 10.4.4.2.3.5.1 AcceptedAndConfirmed <AccptdAndConf>

*Presence:* [1..1]

*Definition:* Provides status information related to a buyer instruction request that is accepted and confirmed (matched by the counterparty).

*Datatype:* "NoReasonCode" on page 213

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

**10.4.4.2.3.5.2 Rejected <Rjctd>***Presence:* [1..1]*Definition:* Provides status information related to an instruction request rejected for further processing due to system reasons.**Rejected <Rjctd>** contains one of the following **RejectedStatus63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		139
Or}	<b>Reason</b> <Rsn>	[1..*]		C2	139
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141

**10.4.4.2.3.5.2.1 NoSpecifiedReason <NoSpdfdRsn>***Presence:* [1..1]*Definition:* Reason not specified.*Datatype:* "NoReasonCode" on page 213

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

**10.4.4.2.3.5.2.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason why the buyer protection instruction is rejected.*Impacted by:* C2 "AdditionalReasonInformationRule"**Reason <Rsn>** contains the following **RejectedStatusReason62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			140
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		140
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		141
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		141

**Constraints**

- **AdditionalReasonInformationRule**

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

**10.4.4.2.3.5.2.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason65Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		140
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		141

**10.4.4.2.3.5.2.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Rejection reason specified as a code.

*Datatype:* "RejectionReason87Code" on page 215

CodeName	Name	Definition
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCC	CurrencyRejection	Invalid instructed currency.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.

CodeName	Name	Definition
DSET	DeniedSinceAlreadySettled	Cancellation request was denied because the instruction was already settled.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
TRTY	IncorrectTransactionType	Transaction type is incorrect.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECMD	ElectionToCounterpartyMarketDeadlineMissed	Received after the election to counterparty market deadline.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
DUCK	UnderlyingTransactionCancelled	Buyer Protection instruction rejected since underlying settlement transaction has been cancelled.
DUST	UnderlyingTransactionAlreadySettled	Buyer Protection instruction was rejected, because the underlying settlement transaction has already been settled.
DSNA	NoBuyerProtectionAllowed	Underlying transaction type/status does not allow for a buyer protection.

#### 10.4.4.2.3.5.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejection reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 10.4.4.2.3.5.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection status.

*Datatype:* "[Max210Text](#)" on page 222

#### 10.4.4.2.3.5.3 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Provides status information related to a pending instruction.

**Pending <Pdg>** contains one of the following **PendingStatus78Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		142
Or}	<b>Reason</b> <Rsn>	[1..*]		C3	142
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143

#### 10.4.4.2.3.5.3.1 NoSpecifiedReason <NoSpdfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 213

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

#### 10.4.4.2.3.5.3.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending status.

*Impacted by:* C3 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **PendingStatusReason32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			142
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		143
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		143
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		143

#### Constraints

- **AdditionalReasonInformationRule**

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

#### 10.4.4.2.3.5.3.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the buyer protection instruction's processing is pending.

**ReasonCode <RsnCd>** contains one of the following **PendingReason74Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		143
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		143

#### 10.4.4.2.3.5.3.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Pending reason specified as a code.

*Datatype:* "PendingReason30Code" on page 214

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
WCTF	AwaitingCounterpartyResponse	Allegation has been sent out to counterparty. Waiting for the response.

#### 10.4.4.2.3.5.3.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Pending reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 10.4.4.2.3.5.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* "Max210Text" on page 222

#### 10.4.4.2.3.5.4 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to an instruction.

**ProprietaryStatus <PrtrySts>** contains the following elements (see "[ProprietaryStatusAndReason6](#)" on page 200 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		200
	ProprietaryReason <PrtryRsn>	[0..*]	±	C4	201

## 10.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C11 "[SupplementaryDataRule](#)"

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

### Constraints

- **SupplementaryDataRule**

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

# 11 Message Items Types

## 11.1 MessageComponents

### 11.1.1 Amount

#### 11.1.1.1 AmountAndDirection110

*Definition:* Posting of an item to a cash account, in the context of a cash transaction, that results in an increase or decrease to the balance of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1, C5	145
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		145

##### 11.1.1.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money in the cash entry.

*Impacted by:* C1 "ActiveCurrency", C5 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 203

##### 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.

##### 11.1.1.1.2 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

*Definition:* Indicates whether an entry is a credit or a debit.

*Datatype:* "CreditDebitCode" on page 211

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

## 11.1.2 Date Time

### 11.1.2.1 TradeDate8Choice

*Definition:* Choice of format for the trade date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		146
Or}	DateCode <DtCd>	[1..1]			146
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	±		147

#### 11.1.2.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as an ISO date.

**Date <Dt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		148
Or}	DateTime <DtTm>	[1..1]	DateTime		148

#### 11.1.2.1.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Date expressed as a code.

**DateCode <DtCd>** contains one of the following **TradeDateCode3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	±		147

#### 11.1.2.1.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Trade date expressed as an ISO 20022 code.

*Datatype:* "[DateType3Code](#)" on page 211

CodeName	Name	Definition
VARI	Various	Partial trades have occurred over a period of two or more days.

**11.1.2.1.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Trade date expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

**11.1.2.2 SettlementDate17Choice***Definition:* Choice of format for the settlement date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		147
Or}	DateCode <DtCd>	[1..1]	±		147

**11.1.2.2.1 Date <Dt>***Presence:* [1..1]*Definition:* Date in ISO format.

**Date <Dt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		148
Or}	DateTime <DtTm>	[1..1]	DateTime		148

**11.1.2.2.2 DateCode <DtCd>***Presence:* [1..1]*Definition:* Date and time at which the securities are to be delivered or received.

**DateCode <DtCd>** contains one of the following elements (see "[SettlementDateCode7Choice](#)" on page 148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		148
Or}	Proprietary <Prtry>	[1..1]	±		148

### 11.1.2.3 SettlementDateCode7Choice

*Definition:* Choice of format for the settlement date code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		148
Or}	Proprietary <Prtry>	[1..1]	±		148

#### 11.1.2.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement date expressed as an ISO 20022 code.

*Datatype:* "SettlementDate4Code" on page 217

CodeName	Name	Definition
WISS	WhenIssued	Settlement is to be done when the security is issued.

#### 11.1.2.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement date expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

### 11.1.2.4 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		148
Or}	DateTime <DtTm>	[1..1]	DateTime		148

#### 11.1.2.4.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* "ISODate" on page 218

#### 11.1.2.4.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* "ISODateTime" on page 218

## 11.1.3 Financial Institution Identification

### 11.1.3.1 FinancialInstitutionIdentification18

*Definition:* Specifies the details to identify a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	149
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		149
	LEI <LEI>	[0..1]	IdentifierSet		149
	Name <Nm>	[0..1]	Text		150
	PostalAddress <PstlAdr>	[0..1]	±		150
	Other <Othr>	[0..1]	±		150

#### 11.1.3.1.1 BICFI <BICFI>

*Presence:* [0..1]

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

*Impacted by:* C2 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 219

#### 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.

#### 11.1.3.1.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains the following elements (see "ClearingSystemMemberIdentification2" on page 154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		154
	MemberIdentification <Mmbld>	[1..1]	Text		155

#### 11.1.3.1.3 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identifier of the financial institution.

*Datatype:* "LEIIdentifier" on page 220

#### 11.1.3.1.4 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max140Text" on page 222

#### 11.1.3.1.5 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 "PostalAddress24" on page 185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			186
{Or	Code <Cd>	[1..1]	CodeSet		186
Or}	Proprietary <Prtry>	[1..1]	±		187
	Department <Dept>	[0..1]	Text		187
	SubDepartment <SubDept>	[0..1]	Text		187
	StreetName <StrtNm>	[0..1]	Text		187
	BuildingNumber <BldgNb>	[0..1]	Text		187
	BuildingName <BldgNm>	[0..1]	Text		188
	Floor <Flr>	[0..1]	Text		188
	PostBox <PstBx>	[0..1]	Text		188
	Room <Room>	[0..1]	Text		188
	PostCode <PstCd>	[0..1]	Text		188
	TownName <TwnNm>	[0..1]	Text		188
	TownLocationName <TwnLctnNm>	[0..1]	Text		188
	DistrictName <DstrctNm>	[0..1]	Text		188
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		189
	Country <Ctry>	[0..1]	CodeSet	C3	189
	AddressLine <AdrLine>	[0..7]	Text		189

#### 11.1.3.1.6 Other <Othr>

*Presence:* [0..1]

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

**Other <Othr>** contains the following elements (see "[GenericFinancialIdentification1](#)" on page 152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		152
	SchemeName <SchmeNm>	[0..1]			153
{Or	Code <Cd>	[1..1]	CodeSet		153
Or}	Proprietary <Prtry>	[1..1]	Text		153
	Issuer <Issr>	[0..1]	Text		153

### 11.1.3.2 BranchData3

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		151
	LEI <LEI>	[0..1]	IdentifierSet		151
	Name <Nm>	[0..1]	Text		151
	PostalAddress <PstlAdr>	[0..1]	±		151

#### 11.1.3.2.1 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 223

#### 11.1.3.2.2 LEI <LEI>

*Presence:* [0..1]

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

*Datatype:* "[LEIIdentifier](#)" on page 220

#### 11.1.3.2.3 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "[Max140Text](#)" on page 222

#### 11.1.3.2.4 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress24" on page 185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			186
{Or	Code <Cd>	[1..1]	CodeSet		186
Or}	Proprietary <Prtry>	[1..1]	±		187
	Department <Dept>	[0..1]	Text		187
	SubDepartment <SubDept>	[0..1]	Text		187
	StreetName <StrtNm>	[0..1]	Text		187
	BuildingNumber <BldgNb>	[0..1]	Text		187
	BuildingName <BldgNm>	[0..1]	Text		188
	Floor <Flr>	[0..1]	Text		188
	PostBox <PstBx>	[0..1]	Text		188
	Room <Room>	[0..1]	Text		188
	PostCode <PstCd>	[0..1]	Text		188
	TownName <TwnNm>	[0..1]	Text		188
	TownLocationName <TwnLctnNm>	[0..1]	Text		188
	DistrictName <DstrctNm>	[0..1]	Text		188
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		189
	Country <Ctry>	[0..1]	CodeSet	C3	189
	AddressLine <AdrLine>	[0..7]	Text		189

### 11.1.3.3 GenericFinancialIdentification1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		152
	SchemeName <SchmeNm>	[0..1]			153
{Or	Code <Cd>	[1..1]	CodeSet		153
Or}	Proprietary <Prtry>	[1..1]	Text		153
	Issuer <Issr>	[0..1]	Text		153

#### 11.1.3.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* "Max35Text" on page 223

#### 11.1.3.3.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		153
Or}	Proprietary <Prtry>	[1..1]	Text		153

##### 11.1.3.3.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ExternalFinancialInstitutionIdentification1Code" on page 212

##### 11.1.3.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 223

#### 11.1.3.3.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 223

#### 11.1.3.4 BranchAndFinancialInstitutionIdentification6

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		153
	BranchIdentification <BrnchId>	[0..1]	±		154

##### 11.1.3.4.1 FinancialInstitutionIdentification <FinInstnId>

*Presence:* [1..1]

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

**FinancialInstitutionIdentification <FinInstnId>** contains the following elements (see "FinancialInstitutionIdentification18" on page 149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	149
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		149
	LEI <LEI>	[0..1]	IdentifierSet		149
	Name <Nm>	[0..1]	Text		150
	PostalAddress <PstlAdr>	[0..1]	±		150
	Other <Othr>	[0..1]	±		150

#### 11.1.3.4.2 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identifies a specific branch of a financial institution.

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

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData3" on page 151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		151
	LEI <LEI>	[0..1]	IdentifierSet		151
	Name <Nm>	[0..1]	Text		151
	PostalAddress <PstlAdr>	[0..1]	±		151

#### 11.1.3.5 ClearingSystemMemberIdentification2

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		154
	MemberIdentification <Mmbld>	[1..1]	Text		155

##### 11.1.3.5.1 ClearingSystemIdentification <ClrSysId>

*Presence:* [0..1]

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

**ClearingSystemIdentification <ClrSysId>** contains one of the following elements (see "ClearingSystemIdentification2Choice" on page 202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		202
Or}	Proprietary <Prtry>	[1..1]	Text		202

#### 11.1.3.5.2 MemberIdentification <Mmbld>

*Presence:* [1..1]

*Definition:* Identification of a member of a clearing system.

*Datatype:* "Max35Text" on page 223

## 11.1.4 Financial Instrument

### 11.1.4.1 SecurityIdentification19

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		156
	OtherIdentification <OthrId>	[0..*]			156
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157
	Description <Desc>	[0..1]	Text		157

#### 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
```

#### 11.1.4.1.1 ISIN <ISIN>

*Presence:* [0..1]

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

*Datatype:* "ISINOct2015Identifier" on page 219

#### 11.1.4.1.2 OtherIdentification <Othrid>

*Presence:* [0..\*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		156
	Suffix <Sfx>	[0..1]	Text		156
	Type <Tp>	[1..1]	±		157

##### 11.1.4.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 223

##### 11.1.4.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* "Max16Text" on page 222

**11.1.4.1.2.3 Type <Tp>***Presence:* [1..1]*Definition:* Type of the identification.**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		160
Or}	Proprietary <Prtry>	[1..1]	Text		160

**11.1.4.1.3 Description <Desc>***Presence:* [0..1]*Definition:* Textual description of a security instrument.*Datatype:* "Max140Text" on page 222**11.1.5 Frequency****11.1.5.1 Frequency25Choice***Definition:* Choice of format for a frequency, for example, the frequency of delivery of a statement.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		157
Or}	Proprietary <Prtry>	[1..1]	±		157

**11.1.5.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Frequency expressed as an ISO 20022 code.*Datatype:* "EventFrequency4Code" on page 211

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
ADHO	Adhoc	Event takes place as necessary.
MNTH	Monthly	Event takes place every month or once a month.
DAIL	Daily	Event takes place every day.
INDA	IntraDay	Event takes place several times a day.
WEEK	Weekly	Event takes place once a week.

**11.1.5.1.2 Proprietary <Prtry>***Presence:* [1..1]

*Definition:* Frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

## 11.1.6 Identification Information

### 11.1.6.1 DocumentIdentification57

*Definition:* Identifies a document by a unique identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuyerProtectionInstructionIdentification <BuyrPrtcInstrId>	[1..1]	Text		158
	ProcessorInstructionIdentification <PrclInstrId>	[0..1]	Text		158

#### 11.1.6.1.1 BuyerProtectionInstructionIdentification <BuyrPrtcInstrId>

*Presence:* [1..1]

*Definition:* Identification of the related buyer protection instruction document for which the status is provided.

*Datatype:* "[Max35Text](#)" on page 223

#### 11.1.6.1.2 ProcessorInstructionIdentification <PrclInstrId>

*Presence:* [0..1]

*Definition:* Identification of the instruction assigned by the processor of the instruction other than the account owner, the account servicer and the market infrastructure.

*Datatype:* "[Max35Text](#)" on page 223

### 11.1.6.2 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		159
	Issuer <Issr>	[1..1]	Text		159
	SchemeName <SchmeNm>	[0..1]	Text		159

**11.1.6.2.1 Identification <Id>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 221**11.1.6.2.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max4AlphaNumericText" on page 223**11.1.6.2.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max4AlphaNumericText" on page 223**11.1.6.3 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		159
Or}	Proprietary <Prtry>	[1..1]	±		160

**11.1.6.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of identification is defined using a code.*Datatype:* "TypeOfIdentification1Code" on page 217

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.

**11.1.6.3.2 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 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

**11.1.6.4 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		160
Or}	Proprietary <Prtry>	[1..1]	Text		160

**11.1.6.4.1 Code <Cd>***Presence:* [1..1]*Definition:* Unique and unambiguous identification source, as assigned via a pre-determined code list.*Datatype:* "[ExternalFinancialInstrumentIdentificationType1Code](#)" on page 212**11.1.6.4.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Unique and unambiguous identification source using a proprietary identification scheme.*Datatype:* "[Max35Text](#)" on page 223**11.1.6.5 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		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

**11.1.6.5.1 Identification <Id>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

*Datatype:* "Exact4AlphaNumericText" on page 221

#### 11.1.6.5.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 223

#### 11.1.6.5.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 223

## 11.1.7 Miscellaneous

### 11.1.7.1 CorporateActionEventType125Choice

*Definition:* Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		161
Or}	Proprietary <Prtry>	[1..1]	±		165

#### Constraints

- **EventTypeRule**

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### 11.1.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Event type expressed as a code.

*Datatype:* "CorporateActionEventType41Code" on page 205

CodeName	Name	Definition
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the

CodeName	Name	Definition
		market rather than creating new share capital in exchange for the dividend.
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	Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Holder must take cash and may be offered a choice of currencies.
DVOP	DividendOption	Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the

CodeName	Name	Definition
		issuer or its agent, for example, asset manager, at final maturity.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are

CodeName	Name	Definition
		invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change

CodeName	Name	Definition
		in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.

#### 11.1.7.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Event type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 11.1.7.2 Pagination1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		166
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		166

#### 11.1.7.2.1 PageNumber <PgNb>

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* "Max5NumericText" on page 223

#### 11.1.7.2.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 220):

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

#### 11.1.7.3 UpdateType16Choice

*Definition:* Choice of format for the update information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166

##### 11.1.7.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

*Datatype:* "StatementUpdateType1Code" on page 217

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

##### 11.1.7.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		159
	Issuer <Issr>	[1..1]	Text		159
	SchemeName <SchmeNm>	[0..1]	Text		159

#### 11.1.7.4 SupplementaryData1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		167
	Envelope <Envlp>	[1..1]	(External Schema)		167

#### Constraints

- **SupplementaryDataRule**

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

##### 11.1.7.4.1 PlaceAndName <PlcAndNm>

*Presence:* [0..1]

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

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

*Datatype:* "[Max350Text](#)" on page 222

##### 11.1.7.4.2 Envelope <Envlp>

*Presence:* [1..1]

*Definition:* Technical element wrapping the supplementary data.

*Type:* (External Schema)

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

#### 11.1.7.5 CorporateActionOption47Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of corporate action options.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		168
Or}	Proprietary <Prtry>	[1..1]	±		169

#### 11.1.7.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of corporate action options.

*Datatype:* "CorporateActionOption18Code" on page 209

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.

CodeName	Name	Definition
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
SECU	Security	Distribution of securities to holders.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

#### 11.1.7.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of corporate action options.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 11.1.7.6 Statement87

*Definition:* Characteristics of the statement.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	QueryReference <QryRef>	[0..1]	Text		169
	StatementIdentification <StmtId>	[0..1]	Text		169
	StatementDateTime <StmtDtTm>	[1..1]	±		170
	Frequency <Frqcy>	[0..1]	±		170
	UpdateType <UpdTp>	[1..1]	±		170
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		170

##### 11.1.7.6.1 QueryReference <QryRef>

*Presence:* [0..1]

*Definition:* Identification of the SecuritiesStatementQuery message sent to request this statement.

*Datatype:* "[Max35Text](#)" on page 223

##### 11.1.7.6.2 StatementIdentification <StmtId>

*Presence:* [0..1]

*Definition:* Reference common to all pages of a statement.

*Datatype:* "Max35Text" on page 223

#### 11.1.7.6.3 StatementDateTime <StmtdtTm>

*Presence:* [1..1]

*Definition:* Date and time of the statement.

**StatementDateTime <StmtdtTm>** contains one of the following elements (see "DateAndDateTime2Choice" on page 148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		148
Or}	DateTime <DtTm>	[1..1]	DateTime		148

#### 11.1.7.6.4 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "Frequency25Choice" on page 157 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		157
Or}	Proprietary <Prtry>	[1..1]	±		157

#### 11.1.7.6.5 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 "UpdateType16Choice" on page 166 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		166
Or}	Proprietary <Prtry>	[1..1]	±		166

#### 11.1.7.6.6 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 220):

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

## 11.1.8 Organisation Identification

### 11.1.8.1 OrganisationIdentification29

*Definition:* Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	171
	LEI <LEI>	[0..1]	IdentifierSet		171
	Other <Othr>	[0..*]			171
	Identification </d>	[1..1]	Text		172
	SchemeName <SchmeNm>	[0..1]			172
{Or	Code <Cd>	[1..1]	CodeSet		172
Or}	Proprietary <Prtry>	[1..1]	Text		172
	Issuer </ssr>	[0..1]	Text		172

#### 11.1.8.1.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Business identification code of the organisation.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 219

#### 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.

#### 11.1.8.1.2 LEI <LEI>

*Presence:* [0..1]

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

*Datatype:* "LEIIdentifier" on page 220

#### 11.1.8.1.3 Other <Othr>

*Presence:* [0..\*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		172
	SchemeName <SchmeNm>	[0..1]			172
{Or	Code <Cd>	[1..1]	CodeSet		172
Or}	Proprietary <Prtry>	[1..1]	Text		172
	Issuer <Issr>	[0..1]	Text		172

#### 11.1.8.1.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max35Text" on page 223

#### 11.1.8.1.3.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		172
Or}	Proprietary <Prtry>	[1..1]	Text		172

#### 11.1.8.1.3.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ExternalOrganisationIdentification1Code" on page 212

#### 11.1.8.1.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 223

#### 11.1.8.1.3.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 223

## 11.1.9 Party Identification

### 11.1.9.1 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]	±		173
	Country <Ctry>	[1..1]	CodeSet	C3	173
	AlternateIdentification <AltrnId>	[1..1]	Text		173

#### 11.1.9.1.1 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 159 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		159
Or}	Proprietary <Prtry>	[1..1]	±		160

#### 11.1.9.1.2 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:* [C3 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 210

#### Constraints

- **Country**

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

#### 11.1.9.1.3 AlternateIdentification <AltrnId>

*Presence:* [1..1]

*Definition:* Alternate identification for a party.

*Datatype:* "[Max35Text](#)" on page 223

### 11.1.9.2 PartyIdentification135

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		174
	PostalAddress <PstlAdr>	[0..1]	±		174
	Identification <Id>	[0..1]	±		175
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	175
	ContactDetails <CtctDtls>	[0..1]	±		176

#### 11.1.9.2.1 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max140Text" on page 222

#### 11.1.9.2.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstIAdr>** contains the following elements (see "[PostalAddress24](#)" on page 185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			186
{Or	Code <Cd>	[1..1]	CodeSet		186
Or}	Proprietary <Prtry>	[1..1]	±		187
	Department <Dept>	[0..1]	Text		187
	SubDepartment <SubDept>	[0..1]	Text		187
	StreetName <StrtNm>	[0..1]	Text		187
	BuildingNumber <BldgNb>	[0..1]	Text		187
	BuildingName <BldgNm>	[0..1]	Text		188
	Floor <Flr>	[0..1]	Text		188
	PostBox <PstBx>	[0..1]	Text		188
	Room <Room>	[0..1]	Text		188
	PostCode <PstCd>	[0..1]	Text		188
	TownName <TwnNm>	[0..1]	Text		188
	TownLocationName <TwnLctnNm>	[0..1]	Text		188
	DistrictName <DstrctNm>	[0..1]	Text		188
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		189
	Country <Ctry>	[0..1]	CodeSet	C3	189
	AddressLine <AdrLine>	[0..7]	Text		189

#### 11.1.9.2.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a party.

**Identification <Id>** contains one of the following elements (see "[Party38Choice](#)" on page 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		176
Or}	PrivateIdentification <PrvtId>	[1..1]	±		177

#### 11.1.9.2.4 CountryOfResidence <CtryOfRes>

*Presence:* [0..1]

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

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 210

#### Constraints

- **Country**

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

#### 11.1.9.2.5 ContactDetails <CtctDtls>

*Presence:* [0..1]

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

**ContactDetails <CtctDtls>** contains the following elements (see "Contact4" on page 180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		180
	Name <Nm>	[0..1]	Text		181
	PhoneNumber <PhneNb>	[0..1]	Text		181
	MobileNumber <MobNb>	[0..1]	Text		181
	FaxNumber <FaxNb>	[0..1]	Text		181
	EmailAddress <EmailAdr>	[0..1]	Text		181
	EmailPurpose <EmailPurp>	[0..1]	Text		181
	JobTitle <JobTitl>	[0..1]	Text		181
	Responsibility <Rspnsblty>	[0..1]	Text		182
	Department <Dept>	[0..1]	Text		182
	Other <Othr>	[0..*]			182
	ChannelType <ChanlTp>	[1..1]	Text		182
	Identification <Id>	[0..1]	Text		182
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		182

#### 11.1.9.3 Party38Choice

*Definition:* Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <Orgld>	[1..1]	±		176
Or}	PrivateIdentification <Prvtld>	[1..1]	±		177

#### 11.1.9.3.1 OrganisationIdentification <Orgld>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "OrganisationIdentification29" on page 171 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	171
	LEI <LEI>	[0..1]	IdentifierSet		171
	Other <Othr>	[0..*]			171
	Identification </Id>	[1..1]	Text		172
	SchemeName <SchmeNm>	[0..1]			172
{Or	Code <Cd>	[1..1]	CodeSet		172
Or}	Proprietary <Prtry>	[1..1]	Text		172
	Issuer </Issr>	[0..1]	Text		172

#### 11.1.9.3.2 PrivateIdentification <PrvtId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person, for example a passport.

**PrivateIdentification <PrvtId>** contains the following elements (see "PersonIdentification13" on page 177 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			178
	BirthDate <BirthDt>	[1..1]	Date		178
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		178
	CityOfBirth <CityOfBirth>	[1..1]	Text		178
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	179
	Other <Othr>	[0..*]			179
	Identification </Id>	[1..1]	Text		179
	SchemeName <SchmeNm>	[0..1]			179
{Or	Code <Cd>	[1..1]	CodeSet		180
Or}	Proprietary <Prtry>	[1..1]	Text		180
	Issuer </Issr>	[0..1]	Text		180

## 11.1.10 Person Identification

### 11.1.10.1 PersonIdentification13

*Definition:* Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			178
	BirthDate <BirthDt>	[1..1]	Date		178
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		178
	CityOfBirth <CityOfBirth>	[1..1]	Text		178
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	179
	Other <Othr>	[0..*]			179
	Identification <Id>	[1..1]	Text		179
	SchemeName <SchmeNm>	[0..1]			179
{Or	Code <Cd>	[1..1]	CodeSet		180
Or}	Proprietary <Prtry>	[1..1]	Text		180
	Issuer <Issr>	[0..1]	Text		180

#### 11.1.10.1.1 DateAndPlaceOfBirth <DtAndPlcOfBirth>

*Presence:* [0..1]

*Definition:* Date and place of birth of a person.

**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following **DateAndPlaceOfBirth1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		178
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		178
	CityOfBirth <CityOfBirth>	[1..1]	Text		178
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	179

##### 11.1.10.1.1.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* "ISODate" on page 218

##### 11.1.10.1.1.2 ProvinceOfBirth <PrvcOfBirth>

*Presence:* [0..1]

*Definition:* Province where a person was born.

*Datatype:* "Max35Text" on page 223

##### 11.1.10.1.1.3 CityOfBirth <CityOfBirth>

*Presence:* [1..1]

*Definition:* City where a person was born.

*Datatype:* "Max35Text" on page 223

#### 11.1.10.1.1.4 CountryOfBirth <CtryOfBirth>

*Presence:* [1..1]

*Definition:* Country where a person was born.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 210

#### Constraints

- **Country**

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

#### 11.1.10.1.2 Other <Othr>

*Presence:* [0..\*]

*Definition:* Unique identification of a person, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following **GenericPersonIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		179
	SchemeName <SchmeNm>	[0..1]			179
{Or	Code <Cd>	[1..1]	CodeSet		180
Or}	Proprietary <Prtry>	[1..1]	Text		180
	Issuer <Issr>	[0..1]	Text		180

#### 11.1.10.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* "Max35Text" on page 223

#### 11.1.10.1.2.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **PersonIdentificationSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		180
Or}	Proprietary <Prtry>	[1..1]	Text		180

**11.1.10.1.2.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Name of the identification scheme, in a coded form as published in an external list.*Datatype:* "ExternalPersonIdentification1Code" on page 213**11.1.10.1.2.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name of the identification scheme, in a free text form.*Datatype:* "Max35Text" on page 223**11.1.10.1.2.3 Issuer <Issr>***Presence:* [0..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 223**11.1.10.2 Contact4***Definition:* Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		180
	Name <Nm>	[0..1]	Text		181
	PhoneNumber <PhneNb>	[0..1]	Text		181
	MobileNumber <MobNb>	[0..1]	Text		181
	FaxNumber <FaxNb>	[0..1]	Text		181
	EmailAddress <EmailAdr>	[0..1]	Text		181
	EmailPurpose <EmailPurp>	[0..1]	Text		181
	JobTitle <JobTitl>	[0..1]	Text		181
	Responsibility <Rspnsblty>	[0..1]	Text		182
	Department <Dept>	[0..1]	Text		182
	Other <Othr>	[0..*]			182
	ChannelType <ChanlTp>	[1..1]	Text		182
	Identification <Id>	[0..1]	Text		182
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		182

**11.1.10.2.1 NamePrefix <NmPrfx>***Presence:* [0..1]*Definition:* Specifies the terms used to formally address a person.*Datatype:* "NamePrefix2Code" on page 213

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

#### 11.1.10.2.2 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max140Text" on page 222

#### 11.1.10.2.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 224

#### 11.1.10.2.4 MobileNumber <MobNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 224

#### 11.1.10.2.5 FaxNumber <FaxNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 224

#### 11.1.10.2.6 EmailAddress <EmailAdr>

*Presence:* [0..1]

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

*Datatype:* "Max2048Text" on page 222

#### 11.1.10.2.7 EmailPurpose <EmailPurp>

*Presence:* [0..1]

*Definition:* Purpose for which an email address may be used.

*Datatype:* "Max35Text" on page 223

#### 11.1.10.2.8 JobTitle <JobTitl>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 223

#### 11.1.10.2.9 Responsibility <Rspnsblty>

*Presence:* [0..1]

*Definition:* Role of a person in an organisation.

*Datatype:* "Max35Text" on page 223

#### 11.1.10.2.10 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "Max70Text" on page 223

#### 11.1.10.2.11 Other <Othr>

*Presence:* [0..\*]

*Definition:* Contact details in another form.

**Other <Othr>** contains the following **OtherContact1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChannelType <ChanlTp>	[1..1]	Text		182
	Identification <Id>	[0..1]	Text		182

##### 11.1.10.2.11.1 ChannelType <ChanlTp>

*Presence:* [1..1]

*Definition:* Method used to contact the financial institution's contact for the specific tax region.

*Datatype:* "Max4Text" on page 223

##### 11.1.10.2.11.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Communication value such as phone number or email address.

*Datatype:* "Max128Text" on page 221

##### 11.1.10.2.12 PreferredMethod <PrefrdMtd>

*Presence:* [0..1]

*Definition:* Preferred method used to reach the contact.

*Datatype:* "PreferredContactMethod1Code" on page 214

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.

CodeName	Name	Definition
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

## 11.1.11 Postal Address

### 11.1.11.1 NameAndAddress5

*Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		183
	Address <Adr>	[0..1]	±		183

#### 11.1.11.1.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 222

#### 11.1.11.1.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		184
	AddressLine <AdrLine>	[0..5]	Text		184
	StreetName <StrtNm>	[0..1]	Text		184
	BuildingNumber <BldgNb>	[0..1]	Text		184
	PostCode <PstCd>	[0..1]	Text		185
	TownName <TwnNm>	[0..1]	Text		185
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		185
	Country <Ctry>	[1..1]	CodeSet	C3	185

### 11.1.11.2 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		184
	AddressLine <AdrLine>	[0..5]	Text		184
	StreetName <StrtNm>	[0..1]	Text		184
	BuildingNumber <BldgNb>	[0..1]	Text		184
	PostCode <PstCd>	[0..1]	Text		185
	TownName <TwnNm>	[0..1]	Text		185
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		185
	Country <Ctry>	[1..1]	CodeSet	C3	185

#### 11.1.11.2.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 204

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.

#### 11.1.11.2.2 AddressLine <AdrLine>

*Presence:* [0..5]

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

*Datatype:* "Max70Text" on page 223

#### 11.1.11.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 223

#### 11.1.11.2.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 222

#### **11.1.11.2.5 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 222

#### **11.1.11.2.6 TownName <TwnNm>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### **11.1.11.2.7 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

#### **11.1.11.2.8 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 210

##### **Constraints**

- **Country**

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

#### **11.1.11.3 PostalAddress24**

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			186
{Or	Code <Cd>	[1..1]	CodeSet		186
Or}	Proprietary <Prtry>	[1..1]	±		187
	Department <Dept>	[0..1]	Text		187
	SubDepartment <SubDept>	[0..1]	Text		187
	StreetName <StrtNm>	[0..1]	Text		187
	BuildingNumber <BldgNb>	[0..1]	Text		187
	BuildingName <BldgNm>	[0..1]	Text		188
	Floor <Flr>	[0..1]	Text		188
	PostBox <PstBx>	[0..1]	Text		188
	Room <Room>	[0..1]	Text		188
	PostCode <PstCd>	[0..1]	Text		188
	TownName <TwnNm>	[0..1]	Text		188
	TownLocationName <TwnLctnNm>	[0..1]	Text		188
	DistrictName <DstrctNm>	[0..1]	Text		188
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		189
	Country <Ctry>	[0..1]	CodeSet	C3	189
	AddressLine <AdrLine>	[0..7]	Text		189

#### 11.1.11.3.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

**AddressType <AdrTp>** contains one of the following **AddressType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		186
Or}	Proprietary <Prtry>	[1..1]	±		187

##### 11.1.11.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of address expressed as a code.

*Datatype:* "AddressType2Code" on page 204

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.

CodeName	Name	Definition
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.

#### 11.1.11.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of address expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 11.1.11.3.2 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "[Max70Text](#)" on page 223

#### 11.1.11.3.3 SubDepartment <SubDept>

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* "[Max70Text](#)" on page 223

#### 11.1.11.3.4 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "[Max70Text](#)" on page 223

#### 11.1.11.3.5 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "[Max16Text](#)" on page 222

**11.1.11.3.6 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 223

**11.1.11.3.7 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* "Max70Text" on page 223

**11.1.11.3.8 PostBox <PstBx>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 222

**11.1.11.3.9 Room <Room>**

*Presence:* [0..1]

*Definition:* Building room number.

*Datatype:* "Max70Text" on page 223

**11.1.11.3.10 PostCode <PstCd>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 222

**11.1.11.3.11 TownName <TwnNm>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 223

**11.1.11.3.12 TownLocationName <TwnLctnNm>**

*Presence:* [0..1]

*Definition:* Specific location name within the town.

*Datatype:* "Max35Text" on page 223

**11.1.11.3.13 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision within a country sub-division.

*Datatype:* "Max35Text" on page 223

**11.1.11.3.14 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country such as state, region, county.*Datatype:* "Max35Text" on page 223**11.1.11.3.15 Country <Ctry>***Presence:* [0..1]*Definition:* Nation with its own government.*Impacted by:* C3 "Country"*Datatype:* "CountryCode" on page 210**Constraints**

- **Country**

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

**11.1.11.3.16 AddressLine <AdrLine>***Presence:* [0..7]*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.*Datatype:* "Max70Text" on page 223**11.1.12 Price****11.1.12.1 AmountPrice3***Definition:* Price expressed as an amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		189
	PriceValue <PricVal>	[1..1]	Amount	C1	190

**11.1.12.1.1 AmountPriceType <AmtPricTp>***Presence:* [1..1]*Definition:* Type of amount price.*Datatype:* "AmountPriceType1Code" on page 205

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.

CodeName	Name	Definition
PREM	Premium	Price expressed as a premium.

#### 11.1.12.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 202

#### 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.

#### 11.1.12.2 PriceFormat66Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price or an amount price per amount or an amount price per financial instrument quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			190
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191
Or	AmountPrice <AmtPric>	[1..1]	±		191
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		191
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			192
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			193
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		194

#### 11.1.12.2.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		191
	PriceValue <PricVal>	[1..1]	Rate		191

#### 11.1.12.2.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* "PriceRateType3Code" on page 214

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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 11.1.12.2.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* "PercentageRate" on page 221

#### 11.1.12.2.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see "AmountPrice3" on page 189 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		189
	PriceValue <PricVal>	[1..1]	Amount	C1	190

#### 11.1.12.2.3 NotSpecifiedPrice <NotSpdfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* "PriceValueType9Code" on page 215

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.

#### 11.1.12.2.4 AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per financial instrument quantity.

**AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>** contains the following **AmountPricePerFinancialInstrumentQuantity10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		192
	PriceValue <PricVal>	[1..1]	Amount	C1	192
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C8	193

##### 11.1.12.2.4.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* "AmountPriceType1Code" on page 205

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

##### 11.1.12.2.4.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 202

#### 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.

#### 11.1.12.2.4.3 FinancialInstrumentQuantity <FinInstrmQty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument.

*Impacted by:* C8 "DigitalTokenUnitUsageRule"

**FinancialInstrumentQuantity <FinInstrmQty>** contains one of the following elements (see "FinancialInstrumentQuantity33Choice" on page 196 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		196
Or	FaceAmount <FaceAmt>	[1..1]	Amount		196
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		196
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		196

#### Constraints

- **DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 11.1.12.2.5 AmountPricePerAmount <AmtPricPerAmt>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per amount.

**AmountPricePerAmount <AmtPricPerAmt>** contains the following **AmountPricePerAmount2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		193
	PriceValue <PricVal>	[1..1]	Amount	C1	194
	Amount <Amt>	[1..1]	Amount	C1	194

#### 11.1.12.2.5.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* "AmountPriceType1Code" on page 205

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.

CodeName	Name	Definition
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

#### 11.1.12.2.5.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 202

##### 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.

#### 11.1.12.2.5.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* The amount on which the price is based.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 202

##### 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.

#### 11.1.12.2.6 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* "DecimalNumber" on page 220

#### 11.1.12.3 PriceFormat50Choice

*Definition:* Choice between a percentage price or an amount price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			195
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195
Or}	AmountPrice <AmtPric>	[1..1]	±		195

#### 11.1.12.3.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		195
	PriceValue <PricVal>	[1..1]	Rate		195

##### 11.1.12.3.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* "PriceRateType3Code" on page 214

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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

##### 11.1.12.3.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* "PercentageRate" on page 221

##### 11.1.12.3.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see "[AmountPrice3](#)" on page 189 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		189
	PriceValue <PricVal>	[1..1]	Amount	C1	190

## 11.1.13 Quantity

### 11.1.13.1 FinancialInstrumentQuantity33Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		196
Or	FaceAmount <FaceAmt>	[1..1]	Amount		196
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		196
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		196

#### Constraints

- **DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 11.1.13.1.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* "[DecimalNumber](#)" on page 220

#### 11.1.13.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* "[ImpliedCurrencyAndAmount](#)" on page 203

#### 11.1.13.1.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

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

*Datatype:* "[ImpliedCurrencyAndAmount](#)" on page 203

#### 11.1.13.1.4 DigitalTokenUnit <DgtlTknUnit>

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

*Datatype:* "Max30DecimalNumber" on page 221

### 11.1.13.2 Quantity51Choice

*Definition:* Choice of format for the quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C8	197
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		197

#### 11.1.13.2.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in units, original face amount or current face amount.

*Impacted by:* C8 "DigitalTokenUnitUsageRule"

**Quantity <Qty>** contains one of the following elements (see "FinancialInstrumentQuantity33Choice" on page 196 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		196
Or	FaceAmount <FaceAmt>	[1..1]	Amount		196
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		196
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		196

#### Constraints

- **DigitalTokenUnitUsageRule**

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 11.1.13.2.2 OriginalAndCurrentFace <OrgnlAndCurFace>

*Presence:* [1..1]

*Definition:* Original and current value of an asset-back instrument.

**OriginalAndCurrentFace <OrgnlAndCurFace>** contains the following elements (see "OriginalAndCurrentQuantities1" on page 198 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		198
	AmortisedValue <AmtsdVal>	[1..1]	Amount		198

## 11.1.14 Securities Quantity

### 11.1.14.1 OriginalAndCurrentQuantities1

*Definition:* Original and current value of an asset-back instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		198
	AmortisedValue <AmtsdVal>	[1..1]	Amount		198

#### 11.1.14.1.1 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 203

#### 11.1.14.1.2 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

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

*Datatype:* "ImpliedCurrencyAndAmount" on page 203

## 11.1.15 Status

### 11.1.15.1 PendingCancellationStatus17Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction cancellation pending cancellation status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		198
Or}	Reason <Rsn>	[1..*]		C3	199
	ReasonCode <RsnCd>	[1..1]			199
{Or	Code <Cd>	[1..1]	CodeSet		199
Or}	Proprietary <Prtry>	[1..1]	±		200
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		200

#### 11.1.15.1.1 NotSpecifiedReason <NotSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 213

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

#### 11.1.15.1.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending cancellation status.

*Impacted by:* C3 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **PendingCancellationStatusReason12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			199
{Or	Code <Cd>	[1..1]	CodeSet		199
Or}	Proprietary <Prtry>	[1..1]	±		200
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		200

#### Constraints

- **AdditionalReasonInformationRule**

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

#### 11.1.15.1.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the cancellation request is pending.

**ReasonCode <RsnCd>** contains one of the following **PendingCancellationReason9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		199
Or}	Proprietary <Prtry>	[1..1]	±		200

#### 11.1.15.1.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why a cancellation request sent for the related instruction is pending.

*Datatype:* "PendingCancellationReason8Code" on page 214

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
PCAT	PendingCounterpartyAcceptance	Pending acceptance from the counterparty.

CodeName	Name	Definition
ECRD	ElectionToCounterpartyResponseDeadlineMiss ed	Received after the election to counterparty response market deadline.

#### 11.1.15.1.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why a cancellation request sent for the related instruction is pending.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 11.1.15.1.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* "[Max210Text](#)" on page 222

### 11.1.15.2 ProprietaryStatusAndReason6

*Definition:* Provides the proprietary status and reason of an instruction or an instruction cancellation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		200
	ProprietaryReason <PrtryRsn>	[0..*]	±	C4	201

#### 11.1.15.2.1 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status related to an instruction.

**ProprietaryStatus <PrtrySts>** contains the following elements (see "[GenericIdentification30](#)" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

### 11.1.15.2.2 ProprietaryReason <PrtryRsn>

*Presence:* [0..\*]

*Definition:* Proprietary identification of the reason related to a proprietary status.

*Impacted by:* C4 "AdditionalReasonInformationRule"

**ProprietaryReason <PrtryRsn>** contains the following elements (see "ProprietaryReason4" on page 201 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		201
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		201

#### Constraints

- **AdditionalReasonInformationRule**

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

### 11.1.15.3 ProprietaryReason4

*Definition:* Proprietary identification of the reason related to a status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		201
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		201

#### Constraints

- **AdditionalReasonInformationRule**

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

#### 11.1.15.3.1 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Proprietary identification of the reason related to a status.

**Reason <Rsn>** contains the following elements (see "GenericIdentification30" on page 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		160
	Issuer <Issr>	[1..1]	Text		161
	SchemeName <SchmeNm>	[0..1]	Text		161

#### 11.1.15.3.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* "Max210Text" on page 222

## 11.1.16 System Identification

### 11.1.16.1 ClearingSystemIdentification2Choice

*Definition:* Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		202
Or}	Proprietary <Prtry>	[1..1]	Text		202

#### 11.1.16.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Identification of a clearing system, in a coded form as published in an external list.

*Datatype:* "ExternalClearingSystemIdentification1Code" on page 212

#### 11.1.16.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Identification code for a clearing system, that has not yet been identified in the list of clearing systems.

*Datatype:* "Max35Text" on page 223

## 11.2 Message Datatypes

### 11.2.1 Amount

#### 11.2.1.1 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 204

#### 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.

### 11.2.1.2 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 204

#### 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.

### 11.2.1.3 ImpliedCurrencyAndAmount

*Definition:* Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

*Type:* Amount

#### Format

minInclusive 0

totalDigits 18  
fractionDigits 5

## 11.2.2 CodeSet

### 11.2.2.1 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.

### 11.2.2.2 AddressType2Code

*Definition:* Specifies the type of address.

*Type:* CodeSet

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

### 11.2.2.3 AllegementRemovalReason1Code

*Definition:* Specifies the reason for an allegement removal.

*Type:* CodeSet

CodeName	Name	Definition
CANC	Cancelled	Allegement removed as the counterparty has cancelled its instruction.
REMO	Removed	Allegement removed as a matching instruction has been received.

#### 11.2.2.4 AmountPriceType1Code

*Definition:* Specifies the amount price type.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

#### 11.2.2.5 BusinessMessagePriorityCode

*Definition:* Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Message (Set) need to be defined by the relevant user community (SEG.).

*Type:* CodeSet

##### Constraints

- ValidationByTable

#### 11.2.2.6 CopyDuplicate1Code

*Definition:* Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

*Type:* CodeSet

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

#### 11.2.2.7 CorporateActionEventType41Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

CodeName	Name	Definition
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional

CodeName	Name	Definition
		shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
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	Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Holder must take cash and may be offered a choice of currencies.
DVOP	DividendOption	Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".

CodeName	Name	Definition
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore,

CodeName	Name	Definition
		not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to

CodeName	Name	Definition
		reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.

### 11.2.2.8 CorporateActionOption18Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution

CodeName	Name	Definition
		rather than a disbursement of income with different tax implications (typically found in Australia).
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
SECU	Security	Distribution of securities to holders.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

### 11.2.2.9 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).

**11.2.2.10 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.

**11.2.2.11 DateType3Code**

*Definition:* Specifies a type of date.

*Type:* CodeSet

CodeName	Name	Definition
VARI	Various	Partial trades have occurred over a period of two or more days.

**11.2.2.12 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).

**11.2.2.13 EventFrequency4Code**

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
ADHO	Adhoc	Event takes place as necessary.
MNTH	Monthly	Event takes place every month or once a month.
DAIL	Daily	Event takes place every day.

CodeName	Name	Definition
INDA	IntraDay	Event takes place several times a day.
WEEK	Weekly	Event takes place once a week.

#### 11.2.2.14 ExternalClearingSystemIdentification1Code

*Definition:* Specifies the clearing system identification code, as published in an external clearing system identification code list.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

##### Format

minLength	1
maxLength	5

#### 11.2.2.15 ExternalFinancialInstitutionIdentification1Code

*Definition:* Specifies the external financial institution identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

##### Format

minLength	1
maxLength	4

#### 11.2.2.16 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

#### 11.2.2.17 ExternalOrganisationIdentification1Code

*Definition:* Specifies the external organisation identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

**Format**

minLength	1
maxLength	4

### 11.2.2.18 ExternalPersonIdentification1Code

*Definition:* Specifies the external person identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

**Format**

minLength	1
maxLength	4

### 11.2.2.19 NamePrefix2Code

*Definition:* Specifies the terms used to formally address a person.

*Type:* CodeSet

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

### 11.2.2.20 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.

**11.2.2.21 PendingCancellationReason8Code**

*Definition:* Specifies the reason why the cancellation request has a pending status.

*Type:* CodeSet

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
PCAT	PendingCounterpartyAcceptance	Pending acceptance from the counterparty.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.

**11.2.2.22 PendingReason30Code**

*Definition:* Specifies the reason why the instruction has a pending status.

*Type:* CodeSet

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
WCTF	AwaitingCounterpartyResponse	Allegation has been sent out to counterparty. Waiting for the response.

**11.2.2.23 PreferredContactMethod1Code**

*Definition:* Preferred method used to reach the individual contact within an organisation.

*Type:* CodeSet

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

**11.2.2.24 PriceRateType3Code**

*Definition:* Specifies the type of price rate.

*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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 11.2.2.25 PriceValueType9Code

*Definition:* Specifies a type of price value.

*Type:* CodeSet

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.

#### 11.2.2.26 ReceiveDelivery1Code

*Definition:* Specifies whether the settlement transaction is a delivery or receipt.

*Type:* CodeSet

CodeName	Name	Definition
DELI	Delivery	Financial instruments will be debited from the safekeeping account.
RECE	Receive	Financial instruments will be credited to the safekeeping account.

#### 11.2.2.27 RejectionReason87Code

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

*Type:* CodeSet

CodeName	Name	Definition
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.

CodeName	Name	Definition
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCC	CurrencyRejection	Invalid instructed currency.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
DSET	DeniedSinceAlreadySettled	Cancellation request was denied because the instruction was already settled.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
TRTY	IncorrectTransactionType	Transaction type is incorrect.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outturn.
ECMD	ElectionToCounterpartyMarketDeadlineMissed	Received after the election to counterparty market deadline.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.
DUCK	UnderlyingTransactionCancelled	Buyer Protection instruction rejected since underlying settlement transaction has been cancelled.
DUST	UnderlyingTransactionAlreadySettled	Buyer Protection instruction was rejected, because the underlying settlement transaction has already been settled.
DSNA	NoBuyerProtectionAllowed	Underlying transaction type/status does not allow for a buyer protection.

### 11.2.2.28 RejectionReason88Code

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

*Type:* CodeSet

CodeName	Name	Definition
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.

CodeName	Name	Definition
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
ECMD	ElectionToCounterpartyMarketDeadlineMissed	Received after the election to counterparty market deadline.
ECRD	ElectionToCounterpartyResponseDeadlineMissed	Received after the election to counterparty response market deadline.

### 11.2.2.29 SettlementDate4Code

*Definition:* Specifies the date of settlement, in coded form.

*Type:* CodeSet

CodeName	Name	Definition
WISS	WhenIssued	Settlement is to be done when the security is issued.

### 11.2.2.30 StatementUpdateType1Code

*Definition:* Specifies the nature of a statement update, for example, it is a complete statement.

*Type:* CodeSet

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

### 11.2.2.31 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).

CodeName	Name	Definition
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

### 11.2.2.32 UnicodeChartsCode

*Definition:* codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

*Type:* CodeSet

#### Constraints

- ValidationByTable

## 11.2.3 Date

### 11.2.3.1 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

## 11.2.4 DateTime

### 11.2.4.1 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

## 11.2.5 IdentifierSet

### 11.2.5.1 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.

### 11.2.5.2 BICFIDec2014Identifier

*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

#### Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

#### Constraints

- **BICFI**

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

### 11.2.5.3 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}

**11.2.5.4 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}

**11.2.5.5 UTIdentifier**

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

*Type:* IdentifierSet

*Identification scheme:* Parties to a trade; UTIdentifier

**Format**

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

**11.2.6 Indicator****11.2.6.1 YesNoIndicator**

*Definition:* Indicates a "Yes" or "No" type of answer for an element.

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

**11.2.7 Quantity****11.2.7.1 DecimalNumber**

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

*Type:* Quantity

**Format**

totalDigits 18

fractionDigits 17

11.2.7.2 Max30DecimalNumber

Definition: Number of objects represented as a decimal number, for example 0.75 or 45.6 with a maximum of 30 digits and 29 fraction digits.

Type: Quantity

Format

totalDigits	30
fractionDigits	29

11.2.8 Rate

11.2.8.1 PercentageRate

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

totalDigits	11
fractionDigits	10
baseValue	100.0

11.2.9 Text

11.2.9.1 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

pattern	[0-9]{3}
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11.2.9.2 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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11.2.9.3 Max128Text

Definition: Specifies a character string with a maximum length of 128 characters.

Type: Text

**Format**

minLength	1
maxLength	128

**11.2.9.4 Max140Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	140

**11.2.9.5 Max16Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	16

**11.2.9.6 Max2048Text**

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text

**Format**

minLength	1
maxLength	2048

**11.2.9.7 Max210Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	210

**11.2.9.8 Max350Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	350

**11.2.9.9 Max35Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	35

**11.2.9.10 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}

**11.2.9.11 Max4Text**

*Definition:* Specifies a character string with a maximum length of 4 characters.

*Type:* Text

**Format**

minLength	1
maxLength	4

**11.2.9.12 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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**11.2.9.13 Max70Text**

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

*Type:* Text

**Format**

minLength	1
maxLength	70

**11.2.9.14 PhoneNumber**

*Definition:* The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+" and "-" (up to 30 characters).

*Type:* Text

**Format**

pattern	\+[0-9]{1,3}-[0-9()+\-]{1,30}
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