

ISO 20022

Investment Funds

# Message Definition Report Part 2

This document provides details of the Message Definitions for Investment Funds.

February 2021

# Table of Contents

<b>1</b>	<b>Message Set Overview</b>	11
1.1	List of MessageDefinitions	11
<b>2</b>	<b>acmt.001.001.08 AccountOpeningInstructionV08</b>	20
2.1	MessageDefinition Functionality	20
2.2	Structure	22
2.3	Constraints	22
2.4	Message Building Blocks	25
<b>3</b>	<b>acmt.002.001.08 AccountDetailsConfirmationV08</b>	38
3.1	MessageDefinition Functionality	38
3.2	Structure	40
3.3	Constraints	40
3.4	Message Building Blocks	43
<b>4</b>	<b>acmt.003.001.08 AccountModificationInstructionV08</b>	57
4.1	MessageDefinition Functionality	57
4.2	Structure	59
4.3	Constraints	59
4.4	Message Building Blocks	63
<b>5</b>	<b>acmt.005.001.06 RequestForAccountManagementStatusReportV06</b>	77
5.1	MessageDefinition Functionality	77
5.2	Structure	78
5.3	Constraints	78
5.4	Message Building Blocks	79
<b>6</b>	<b>acmt.006.001.07 AccountManagementStatusReportV07</b>	86
6.1	MessageDefinition Functionality	86
6.2	Structure	87
6.3	Constraints	87
6.4	Message Building Blocks	88
<b>7</b>	<b>camt.040.001.04 FundEstimatedCashForecastReportV04</b>	94
7.1	MessageDefinition Functionality	94
7.2	Structure	96
7.3	Constraints	96
7.4	Message Building Blocks	98
<b>8</b>	<b>camt.041.001.04 FundConfirmedCashForecastReportV04</b>	105
8.1	MessageDefinition Functionality	105
8.2	Structure	107
8.3	Constraints	107
8.4	Message Building Blocks	109

<b>9</b>	<b>camt.042.001.04 FundDetailedEstimatedCashForecastReportV04</b>	116
9.1	MessageDefinition Functionality	116
9.2	Structure	117
9.3	Constraints	118
9.4	Message Building Blocks	119
<b>10</b>	<b>camt.043.001.04 FundDetailedConfirmedCashForecastReportV04</b>	126
10.1	MessageDefinition Functionality	126
10.2	Structure	128
10.3	Constraints	129
10.4	Message Building Blocks	131
<b>11</b>	<b>camt.044.001.03 FundConfirmedCashForecastReportCancellationV03</b>	146
11.1	MessageDefinition Functionality	146
11.2	Structure	147
11.3	Constraints	147
11.4	Message Building Blocks	149
<b>12</b>	<b>camt.045.001.03 FundDetailedConfirmedCashForecastReportCancellationV03</b>	153
12.1	MessageDefinition Functionality	153
12.2	Structure	154
12.3	Constraints	154
12.4	Message Building Blocks	156
<b>13</b>	<b>reda.001.001.04 PriceReportV04</b>	159
13.1	MessageDefinition Functionality	159
13.2	Structure	161
13.3	Constraints	162
13.4	Message Building Blocks	163
<b>14</b>	<b>reda.002.001.04 PriceReportCancellationV04</b>	177
14.1	MessageDefinition Functionality	177
14.2	Structure	178
14.3	Constraints	178
14.4	Message Building Blocks	180
<b>15</b>	<b>reda.004.001.05 FundReferenceDataReportV05</b>	185
15.1	MessageDefinition Functionality	185
15.2	Structure	187
15.3	Constraints	188
15.4	Message Building Blocks	190
<b>16</b>	<b>reda.005.001.03 InvestmentFundReportRequestV03</b>	212
16.1	MessageDefinition Functionality	212
16.2	Structure	213
16.3	Constraints	213
16.4	Message Building Blocks	214

<b>17</b>	<b>semt.001.001.03 SecuritiesMessageRejectionV03</b>	218
17.1	MessageDefinition Functionality	218
17.2	Structure	219
17.3	Constraints	219
17.4	Message Building Blocks	219
<b>18</b>	<b>semt.002.001.02 CustodyStatementOfHoldingsV02</b>	222
18.1	MessageDefinition Functionality	222
18.2	Structure	224
18.3	Constraints	224
18.4	Message Building Blocks	226
<b>19</b>	<b>semt.003.001.02 AccountingStatementOfHoldingsV02</b>	234
19.1	MessageDefinition Functionality	234
19.2	Structure	236
19.3	Constraints	236
19.4	Message Building Blocks	238
<b>20</b>	<b>semt.004.001.02 CustodyStatementOfHoldingsCancellationV02</b>	245
20.1	MessageDefinition Functionality	245
20.2	Structure	246
20.3	Constraints	246
20.4	Message Building Blocks	247
<b>21</b>	<b>semt.005.001.02 AccountingStatementOfHoldingsCancellationV02</b>	250
21.1	MessageDefinition Functionality	250
21.2	Structure	251
21.3	Constraints	251
21.4	Message Building Blocks	252
<b>22</b>	<b>semt.006.001.03 StatementOfInvestmentFundTransactionsV03</b>	255
22.1	MessageDefinition Functionality	255
22.2	Structure	257
22.3	Constraints	260
22.4	Message Building Blocks	261
<b>23</b>	<b>semt.007.001.03 StatementOfInvestmentFundTransactionsCancellationV03</b>	293
23.1	MessageDefinition Functionality	293
23.2	Structure	294
23.3	Constraints	297
23.4	Message Building Blocks	298
<b>24</b>	<b>sese.001.001.09 TransferOutInstructionV09</b>	334
24.1	MessageDefinition Functionality	334
24.2	Structure	335
24.3	Constraints	335
24.4	Message Building Blocks	338



<b>25</b>	<b>sese.002.001.09 TransferOutCancellationRequestV09</b>	344
25.1	MessageDefinition Functionality	344
25.2	Structure	345
25.3	Constraints	345
25.4	Message Building Blocks	345
<b>26</b>	<b>sese.003.001.09 TransferOutConfirmationV09</b>	350
26.1	MessageDefinition Functionality	350
26.2	Structure	351
26.3	Constraints	351
26.4	Message Building Blocks	354
<b>27</b>	<b>sese.004.001.09 ReversalOfTransferOutConfirmationV09</b>	360
27.1	MessageDefinition Functionality	360
27.2	Structure	361
27.3	Constraints	361
27.4	Message Building Blocks	361
<b>28</b>	<b>sese.005.001.09 TransferInInstructionV09</b>	366
28.1	MessageDefinition Functionality	366
28.2	Structure	367
28.3	Constraints	367
28.4	Message Building Blocks	370
<b>29</b>	<b>sese.006.001.09 TransferInCancellationRequestV09</b>	377
29.1	MessageDefinition Functionality	377
29.2	Structure	378
29.3	Constraints	379
29.4	Message Building Blocks	379
<b>30</b>	<b>sese.007.001.09 TransferInConfirmationV09</b>	383
30.1	MessageDefinition Functionality	383
30.2	Structure	384
30.3	Constraints	384
30.4	Message Building Blocks	387
<b>31</b>	<b>sese.008.001.09 ReversalOfTransferInConfirmationV09</b>	394
31.1	MessageDefinition Functionality	394
31.2	Structure	395
31.3	Constraints	395
31.4	Message Building Blocks	396
<b>32</b>	<b>sese.009.001.07 RequestForTransferStatusReportV07</b>	400
32.1	MessageDefinition Functionality	400
32.2	Structure	401
32.3	Constraints	401
32.4	Message Building Blocks	402

<b>33</b>	<b>sese.010.001.07 TransferCancellationStatusReportV07</b>	407
33.1	MessageDefinition Functionality	407
33.2	Structure	408
33.3	Constraints	408
33.4	Message Building Blocks	409
<b>34</b>	<b>sese.011.001.08 TransferInstructionStatusReportV08</b>	414
34.1	MessageDefinition Functionality	414
34.2	Structure	416
34.3	Constraints	417
34.4	Message Building Blocks	418
<b>35</b>	<b>sese.012.001.10 PortfolioTransferInstructionV10</b>	434
35.1	MessageDefinition Functionality	434
35.2	Structure	436
35.3	Constraints	437
35.4	Message Building Blocks	441
<b>36</b>	<b>sese.013.001.10 PortfolioTransferConfirmationV10</b>	455
36.1	MessageDefinition Functionality	455
36.2	Structure	457
36.3	Constraints	458
36.4	Message Building Blocks	463
<b>37</b>	<b>sese.014.001.09 PortfolioTransferCancellationRequestV09</b>	478
37.1	MessageDefinition Functionality	478
37.2	Structure	479
37.3	Constraints	479
37.4	Message Building Blocks	479
<b>38</b>	<b>sese.018.001.08 AccountHoldingInformationV08</b>	484
38.1	MessageDefinition Functionality	484
38.2	Structure	486
38.3	Constraints	487
38.4	Message Building Blocks	491
<b>39</b>	<b>sese.019.001.07 AccountHoldingInformationRequestV07</b>	502
39.1	MessageDefinition Functionality	502
39.2	Structure	504
39.3	Constraints	504
39.4	Message Building Blocks	507
<b>40</b>	<b>setr.001.001.04 RedemptionBulkOrderV04</b>	517
40.1	MessageDefinition Functionality	517
40.2	Structure	518
40.3	Constraints	519
40.4	Message Building Blocks	522

<b>41</b>	<b>setr.002.001.04 RedemptionBulkOrderCancellationRequestV04</b>	547
41.1	MessageDefinition Functionality	547
41.2	Structure	548
41.3	Constraints	548
41.4	Message Building Blocks	548
<b>42</b>	<b>setr.003.001.04 RedemptionBulkOrderConfirmationV04</b>	552
42.1	MessageDefinition Functionality	552
42.2	Structure	554
42.3	Constraints	556
42.4	Message Building Blocks	559
<b>43</b>	<b>setr.004.001.04 RedemptionOrderV04</b>	593
43.1	MessageDefinition Functionality	593
43.2	Structure	594
43.3	Constraints	595
43.4	Message Building Blocks	598
<b>44</b>	<b>setr.005.001.04 RedemptionOrderCancellationRequestV04</b>	624
44.1	MessageDefinition Functionality	624
44.2	Structure	625
44.3	Constraints	625
44.4	Message Building Blocks	625
<b>45</b>	<b>setr.006.001.04 RedemptionOrderConfirmationV04</b>	628
45.1	MessageDefinition Functionality	628
45.2	Structure	630
45.3	Constraints	632
45.4	Message Building Blocks	635
<b>46</b>	<b>setr.007.001.04 SubscriptionBulkOrderV04</b>	670
46.1	MessageDefinition Functionality	670
46.2	Structure	671
46.3	Constraints	672
46.4	Message Building Blocks	675
<b>47</b>	<b>setr.008.001.04 SubscriptionBulkOrderCancellationRequestV04</b>	702
47.1	MessageDefinition Functionality	702
47.2	Structure	703
47.3	Constraints	703
47.4	Message Building Blocks	703
<b>48</b>	<b>setr.009.001.04 SubscriptionBulkOrderConfirmationV04</b>	707
48.1	MessageDefinition Functionality	707
48.2	Structure	709
48.3	Constraints	711
48.4	Message Building Blocks	714

<b>49</b>	<b>setr.010.001.04 SubscriptionOrderV04</b>	748
49.1	MessageDefinition Functionality	748
49.2	Structure	749
49.3	Constraints	751
49.4	Message Building Blocks	753
<b>50</b>	<b>setr.011.001.04 SubscriptionOrderCancellationRequestV04</b>	781
50.1	MessageDefinition Functionality	781
50.2	Structure	782
50.3	Constraints	782
50.4	Message Building Blocks	782
<b>51</b>	<b>setr.012.001.04 SubscriptionOrderConfirmationV04</b>	785
51.1	MessageDefinition Functionality	785
51.2	Structure	787
51.3	Constraints	789
51.4	Message Building Blocks	792
<b>52</b>	<b>setr.013.001.04 SwitchOrderV04</b>	828
52.1	MessageDefinition Functionality	828
52.2	Structure	830
52.3	Constraints	832
52.4	Message Building Blocks	835
<b>53</b>	<b>setr.014.001.04 SwitchOrderCancellationRequestV04</b>	871
53.1	MessageDefinition Functionality	871
53.2	Structure	872
53.3	Constraints	872
53.4	Message Building Blocks	872
<b>54</b>	<b>setr.015.001.04 SwitchOrderConfirmationV04</b>	876
54.1	MessageDefinition Functionality	876
54.2	Structure	877
54.3	Constraints	880
54.4	Message Building Blocks	882
<b>55</b>	<b>setr.016.001.04 OrderInstructionStatusReportV04</b>	931
55.1	MessageDefinition Functionality	931
55.2	Structure	933
55.3	Constraints	933
55.4	Message Building Blocks	935
<b>56</b>	<b>setr.017.001.04 OrderCancellationStatusReportV04</b>	938
56.1	MessageDefinition Functionality	938
56.2	Structure	939
56.3	Constraints	939
56.4	Message Building Blocks	940

<b>57</b>	<b>setr.018.001.04 RequestForOrderStatusReportV04</b>	942
57.1	MessageDefinition Functionality	942
57.2	Structure	943
57.3	Constraints	943
57.4	Message Building Blocks	944
<b>58</b>	<b>setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02</b>	949
58.1	MessageDefinition Functionality	949
58.2	Structure	950
58.3	Constraints	950
58.4	Message Building Blocks	950
<b>59</b>	<b>setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02</b>	954
59.1	MessageDefinition Functionality	954
59.2	Structure	955
59.3	Constraints	955
59.4	Message Building Blocks	955
<b>60</b>	<b>setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02</b>	959
60.1	MessageDefinition Functionality	959
60.2	Structure	960
60.3	Constraints	960
60.4	Message Building Blocks	960
<b>61</b>	<b>setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02</b>	964
61.1	MessageDefinition Functionality	964
61.2	Structure	965
61.3	Constraints	965
61.4	Message Building Blocks	965
<b>62</b>	<b>setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02</b>	969
62.1	MessageDefinition Functionality	969
62.2	Structure	970
62.3	Constraints	970
62.4	Message Building Blocks	970
<b>63</b>	<b>setr.057.001.02 OrderConfirmationStatusReportV02</b>	974
63.1	MessageDefinition Functionality	974
63.2	Structure	975
63.3	Constraints	976
63.4	Message Building Blocks	976
<b>64</b>	<b>setr.058.001.02 RequestForOrderConfirmationStatusReportV02</b>	982
64.1	MessageDefinition Functionality	982
64.2	Structure	983
64.3	Constraints	983
64.4	Message Building Blocks	984

<b>65</b>	<b>Message Items Types .....</b>	<b>989</b>
65.1	MessageComponents .....	989
65.2	Message Datatypes .....	2409

# 1 Message Set Overview

## Introduction

Set of messages designed for the investment funds industry to support account management; subscription, redemption and switch order and confirmation; order status reporting, fund cash forecast reporting, price reporting, fund processing passport, statements of holdings and transactions; transfer and confirmation; transfer status reporting and portfolio transfer.

## 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
acmt.001.001.08 AccountOpeningInstructionV08	The AccountOpeningInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian or securities depository, to instruct the opening of an account or the opening of an account and the establishment of an investment plan.
acmt.002.001.08 AccountDetailsConfirmationV08	The AccountDetailsConfirmation message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner, for example, an investor to confirm the opening of an account, execution of an AccountModificationInstruction or to return information requested in a GetAccountDetails message.
acmt.003.001.08 AccountModificationInstructionV08	The AccountModificationInstruction message is sent by an account owner, for example, an investor or its designated agent to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to modify, that is, create, update or delete specific details of an existing account.
acmt.005.001.06 RequestForAccountManagementStatusReportV06	The RequestForAccountManagementStatusReport message is sent by an account owner, for example, an investor or its designated agent, to the account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to request the status of an AccountOpeningInstruction, GetAccountDetails or an AccountModificationInstruction.
acmt.006.001.07 AccountManagementStatusReportV07	The AccountManagementStatusReport message is sent by an account servicer, for example, a registrar, transfer agent, custodian bank or securities depository to the account owner or its designated agent, for example, an investor to report on the receipt or the processing status of a previously received account management message.
camt.040.001.04 FundEstimatedCashForecastReportV04	A report provider, such as a transfer agent, sends the FundEstimatedCashForecastReport message to the report user, such as an investment manager or pricing agent, to report the estimated cash incomings and outgoings of one or more share classes of an investment fund on one or more trade dates.

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



MessageDefinition	Definition
	PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.
reda.004.001.05 FundReferenceDataReportV05	The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.
reda.005.001.03 InvestmentFundReportRequestV03	<p>The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.</p> <p>The Investment Fund Report Request message can be used to request one or many fund reference data report messages.</p>
semt.001.001.03 SecuritiesMessageRejectionV03	<p>An account servicer, for example, a registrar, transfer agent or custodian bank, sends the SecuritiesMessageRejection message to the account owner, for example, an investor or its authorised agent, to reject a previously received message on which action cannot be taken.</p> <p>The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.</p>
semt.002.001.02 CustodyStatementOfHoldingsV02	<p>An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.</p> <p>The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.</p> <p>The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.</p>
semt.003.001.02 AccountingStatementOfHoldingsV02	An account servicer, for example, a transfer agent sends the AccountingStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

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

MessageDefinition	Definition
TransferInInstructionV09	
sese.006.001.09 TransferInCancellationRequestV09	The TransferInCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.
sese.007.001.09 TransferInConfirmationV09	<p>The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.</p> <p>This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.</p> <p>This message may also be used as an advice, that is, the message is used to provide account information.</p>
sese.008.001.09 ReversalOfTransferInConfirmationV09	The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.
sese.009.001.07 RequestForTransferStatusReportV07	The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.
sese.010.001.07 TransferCancellationStatusReportV07	The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.
sese.011.001.08 TransferInstructionStatusReportV08	<p>The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.</p> <p>It may also be used to report the status of an event related to the asset being transferred or provide additional information.</p>
sese.012.001.10 PortfolioTransferInstructionV10	The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

MessageDefinition	Definition
sese.013.001.10 PortfolioTransferConfirmationV10	The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).
sese.014.001.09 PortfolioTransferCancellationRequestV09	The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.
sese.018.001.08 AccountHoldingInformationV08	The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.
sese.019.001.07 AccountHoldingInformationRequestV07	The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.
setr.001.001.04 RedemptionBulkOrderV04	The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.
setr.002.001.04 RedemptionBulkOrderCancellationRequestV04	The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.
setr.003.001.04 RedemptionBulkOrderConfirmationV04	The RedemptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionBulkOrder message.
setr.004.001.04 RedemptionOrderV04	The RedemptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.
setr.005.001.04 RedemptionOrderCancellationRequestV04	The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.
setr.006.001.04 RedemptionOrderConfirmationV04	The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to

MessageDefinition	Definition
	the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.
setr.007.001.04 SubscriptionBulkOrderV04	The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.
setr.008.001.04 SubscriptionBulkOrderCancellationRequestV04	The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.
setr.009.001.04 SubscriptionBulkOrderConfirmationV04	The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.
setr.010.001.04 SubscriptionOrderV04	The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.
setr.011.001.04 SubscriptionOrderCancellationRequestV04	The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.
setr.012.001.04 SubscriptionOrderConfirmationV04	The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.
setr.013.001.04 SwitchOrderV04	The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial instrument or instruments for a specified amount/ quantity.
setr.014.001.04 SwitchOrderCancellationRequestV04	The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.
setr.015.001.04 SwitchOrderConfirmationV04	The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details

MessageDefinition	Definition
	of the execution of a previously received SwitchOrder instruction.
setr.016.001.04 OrderInstructionStatusReportV04	The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.
setr.017.001.04 OrderCancellationStatusReportV04	The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.
setr.018.001.04 RequestForOrderStatusReportV04	The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.
setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02	The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.
setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02	The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.
setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02	The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.
setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02	The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionBulkOrderConfirmation.
setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02	The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.
setr.057.001.02 OrderConfirmationStatusReportV02	The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to report

MessageDefinition	Definition
	the status of an order confirmation or an order confirmation amendment.
setr.058.001.02 RequestForOrderConfirmationStatusReportV02	The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.

## 2 **acmt.001.001.08 AccountOpeningInstructionV08**

### 2.1 **MessageDefinition Functionality**

#### Scope

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

#### Usage

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

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

Execution of the AccountOpeningInstruction is confirmed via an AccountDetailsConfirmation message.

#### Outline

The AccountOpeningInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. OrderReference  
Identifies a related order or settlement transaction.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. InstructionDetails  
Information about the opening instruction.
- E. InvestmentAccount  
Detailed information about the account to be opened.
- F. AccountParties  
Information related to parties that are related to the account, for example, primary account owner.
- G. Intermediaries  
Intermediary or other party related to the management of the account.
- H. Placement  
Referral information.



I. NewIssueAllocation

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

J. SavingsInvestmentPlan

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

K. WithdrawalInvestmentPlan

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

L. CashSettlement

Cash settlement standing instruction associated to transactions on the account.

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

## 2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctOpngInstr>	[1..1]		C14, C24	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		25
	<b>OrderReference</b> <OrdRef>	[0..1]	±		25
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		25
	<b>InstructionDetails</b> <InstrDtls>	[1..1]			25
	<b>OpeningType</b> <OpngTp>	[1..1]	±		26
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		26
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		26
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		26
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		27
	<b>InvestmentAccount</b> <InvstmtAcct>	[1..1]	±	C13, C23, C9	27
	<b>AccountParties</b> <AcctPties>	[1..1]	±		29
	<b>Intermediaries</b> <Intrmies>	[0..*]	±		30
	<b>Placement</b> <Plcmnt>	[0..1]	±	C22	31
	<b>NewIssueAllocation</b> <NewIssseAllcn>	[0..1]	±		31
	<b>SavingsInvestmentPlan</b> <SvgsInvstmtPlan>	[0..50]	±	C3	32
	<b>WithdrawalInvestmentPlan</b> <WdrwlInvstmtPlan>	[0..10]	±	C3	33
	<b>CashSettlement</b> <CshSttlm>	[0..8]	±		34
	<b>ServiceLevelAgreement</b> <SvcLvlAgrmt>	[0..30]	±		35
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		36
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		36
	<b>Extension</b> <Xtnsn>	[0..*]	±	C8	37

## 2.3 Constraints

### C1 ActiveCurrency

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

**C2 ActiveOrHistoricCurrency**

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

**C3 AmountRule**

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

**C4 AnyBIC**

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

**C5 BICFI**

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

**C6 Country**

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

**C7 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C8 ExtensionRule**

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

**C9 FinancialInstrumentDetailsGuideline**

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

**C10 HoldingCertificateNumberRule**

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

**C11 IBAN**

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

**C12 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C13 IncomePreferenceReinvestment1Rule**

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

**C14 InvestmentAccountIdentificationRule**

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

*This constraint is defined at the MessageDefinition level.*

**C15 MailingIndicatorRule**

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

**C16 OrganisationElementRule**

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

**C17 OwnershipBeneficiaryRateRule**

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

**C18 PartialHoldingUnits1Rule**

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

**C19 PartialHoldingUnits2Rule**

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

**C20 PartialHoldingUnits3Rule**

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

**C21 PoliticallyExposedPersonTypeRule**

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

**C22 ReferredPlacementAgentRule**

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

**C23 ReinvestmentPercentage1Rule**

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

**C24 UnitRule**

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

On Condition

/SavingsInvestmentPlan[\*] is present

Following Must be True

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

*This constraint is defined at the MessageDefinition level.*

**C25 ValidationByTable**

Must be a valid terrestrial language.

**C26 ValidationByTable**

Must be a valid nationality.

## 2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 2.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 2.4.2 OrderReference <OrdRef>

*Presence:* [0..1]

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

**OrderReference <OrdRef>** contains the following elements (see "[InvestmentFundOrder4](#)" on page 1538 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1538
	MasterReference <MstrRef>	[0..1]	Text		1538

### 2.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference13](#)" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

### 2.4.4 InstructionDetails <InstrDtls>

*Presence:* [1..1]

*Definition:* Information about the opening instruction.

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

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

#### 2.4.4.1 OpeningType <OpngTp>

*Presence:* [1..1]

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

**OpeningType <OpngTp>** contains one of the following elements (see "[AccountOpeningType1Choice](#)" on page 991 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		991
Or}	Proprietary <Prtry>	[1..1]	±		992

#### 2.4.4.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 2536

#### 2.4.4.3 ClientReference <ClntRef>

*Presence:* [0..1]

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

*Datatype:* "[Max35Text](#)" on page 2536

#### 2.4.4.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

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

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

#### 2.4.4.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

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

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

#### 2.4.5 InvestmentAccount <InvstmtAcct>

*Presence:* [1..1]

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

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

**InvestmentAccount <InvstmtAcct>** contains the following elements (see "InvestmentAccount73" on page 1387 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1389
	Name <Nm>	[0..1]	Text		1389
	Designation <Dsgnt>	[0..1]	Text		1389
	Type <Tp>	[0..1]	±		1390
	OwnershipType <OwnrshTp>	[1..1]	±		1390
	TaxExemption <TaxXmptn>	[0..1]	±		1390
	StatementFrequency <StmtFrqcy>	[0..1]	±		1390
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1391
	Language <Lang>	[0..1]	CodeSet	C34	1391
	IncomePreference <IncmPref>	[0..1]	CodeSet		1391
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1391
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1392
	TaxReporting <TaxRptg>	[0..*]	±		1392
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1393
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1394
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1394
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1394
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1394
	RoundingDetails <RndgDtls>	[0..1]	±		1395
	AccountServicer <AcctSvcr>	[0..1]	±		1396
	BlockedStatus <BlckdSts>	[0..1]	±		1396
	AccountUsageType <AcctUsgTp>	[0..1]	±		1397
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1397
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1397
	TransactionChannelType <TxChanITp>	[0..1]	±		1397
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1397
	Pledging <Pldgg>	[0..1]	CodeSet		1398
	Collateral <Coll>	[0..1]	CodeSet		1398
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1398
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		1399



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountingStatus <AcctgSts>	[0..1]	±		1399
	OpeningDate <OpngDt>	[0..1]	±		1399
	ClosingDate <ClsgDt>	[0..1]	±		1399
	NegativeIndicator <NegInd>	[0..1]	Indicator		1400
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1400
	Liability <Lbilty>	[0..1]	±		1400
	InvestorProfile <InvstrPrfl>	[0..*]	±		1400
	FiscalYear <FscYr>	[0..1]	±		1401

#### Constraints

- **FinancialInstrumentDetailsGuideline**

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

- **IncomePreferenceReinvestment1Rule**

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

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

- **ReinvestmentPercentage1Rule**

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

## 2.4.6 AccountParties <AcctPties>

*Presence:* [1..1]

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

**AccountParties <AcctPties>** contains the following elements (see "AccountParties17" on page 1815 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1816
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1816
Or	Trustee <Trstee>	[1..5]	±		1818
Or	Nominee <Nmnee>	[1..1]	±		1820
Or}	JointOwner <JntOwnr>	[1..5]	±		1822
	SecondaryOwner <ScndryOwnr>	[0..*]	±		1824
	Beneficiary <Bnfcry>	[0..*]	±		1826
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		1828
	LegalGuardian <LglGuardn>	[0..*]	±		1830
	CustodianForMinor <CtdnForMnr>	[0..*]	±		1832
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		1834
	Administrator <Admstr>	[0..*]	±		1836
	OtherParty <OthrPty>	[0..*]	±		1838
	Granter <Grntr>	[0..*]	±		1838
	Settlor <Sttlr>	[0..*]	±		1840
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		1842
	Protector <Prctcr>	[0..*]	±		1844
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		1846

## 2.4.7 Intermediaries <Intrmies>

*Presence:* [0..\*]

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

**Intermediaries <Intrmies>** contains the following elements (see "Intermediary46" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1871
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1871
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1872
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1872
	Account <Acct>	[0..1]			1872
	Identification <Id>	[0..1]	Text		1872
	AccountServicer <AcctSvcr>	[1..1]	±		1872
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		1873
	Role <Role>	[0..1]	±		1873
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1873
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1874
	NameAndAddress <NmAndAdr>	[0..1]	±		1874

## 2.4.8 Placement <Plcmnt>

*Presence:* [0..1]

*Definition:* Referral information.

*Impacted by:* C22 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 1867 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		1867
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		1867

### Constraints

- ReferredPlacementAgentRule**

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

## 2.4.9 NewIssueAllocation <NewIsseAllcn>

*Presence:* [0..1]

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

**NewIssueAllocation <NewIssueAllocn>** contains the following elements (see "NewIssueAllocation2" on page 1688 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1689
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1689
	DeMinimus <DeMnms>	[0..1]	±		1689

## 2.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

*Presence:* [0..50]

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

*Impacted by:* C3 "AmountRule"

**SavingsInvestmentPlan <SvgsInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1592
	StartDate <StartDt>	[0..1]	Date		1593
	EndDate <EndDt>	[0..1]	Date		1593
	Quantity <Qty>	[1..1]	±		1593
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1593
	IncomePreference <IncmPref>	[0..1]	CodeSet		1593
	InitialAmount <InitlAmt>	[0..1]	±		1594
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1594
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1594
	SecurityDetails <SctyDtls>	[1..50]			1594
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596
	CashSettlement <CshSttlm>	[0..8]	±		1597
	ContractReference <CtrctRef>	[0..1]	Text		1597
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1598
	ProductIdentification <PdctId>	[0..1]	Text		1598
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1598
	InsuranceCover <InsrncCover>	[0..1]	±		1598
	PlanStatus <PlanSts>	[0..1]	±		1598
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1599

#### Constraints

- **AmountRule**

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

## 2.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

*Presence:* [0..10]

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

Impacted by: C3 "AmountRule"

**WithdrawalInvestmentPlan <WdrwlInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1592
	StartDate <StartDt>	[0..1]	Date		1593
	EndDate <EndDt>	[0..1]	Date		1593
	Quantity <Qty>	[1..1]	±		1593
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1593
	IncomePreference <IncmPref>	[0..1]	CodeSet		1593
	InitialAmount <InitlAmt>	[0..1]	±		1594
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1594
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1594
	SecurityDetails <SctyDtls>	[1..50]			1594
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596
	CashSettlement <CshSttlm>	[0..8]	±		1597
	ContractReference <CtrctRef>	[0..1]	Text		1597
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1598
	ProductIdentification <PdctId>	[0..1]	Text		1598
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1598
	InsuranceCover <InsrncCover>	[0..1]	±		1598
	PlanStatus <PlanSts>	[0..1]	±		1598
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1599

#### Constraints

- **AmountRule**

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

## 2.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

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

**CashSettlement <CshSttlm>** contains the following elements (see "CashSettlement3" on page 2167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2168
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2169
	Identification <Id>	[1..1]	±		2169
	AccountOwner <AcctOwnr>	[0..1]	±		2170
	AccountServicer <AcctSvcr>	[0..1]	±		2170
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2170
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2171
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2171
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2171
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2172
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountPurpose <CshAcctPurp>	[0..1]			2173
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2174
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174
	DividendPercentage <DvddPctg>	[0..1]	Rate		2174
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2175

## 2.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

*Presence:* [0..30]

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

**ServiceLevelAgreement <SvcLvlAgrmt>** contains the following elements (see "DocumentToSend4" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2142
	Recipient <Rcpt>	[1..1]	±		2143
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2143
{Or	Code <Cd>	[1..1]	CodeSet		2143
Or}	Proprietary <Prtry>	[1..1]	±		2143

## 2.4.14 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

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

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation13" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

## 2.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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



**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 2.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C8 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

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

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

### 3.1 **MessageDefinition Functionality**

#### Scope

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

#### Usage

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

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

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

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

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

#### Outline

The AccountDetailsConfirmationV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

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

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

G. Intermediaries

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

H. Placement

Confirmation of referral information.

I. NewIssueAllocation

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

J. SavingsInvestmentPlan

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

K. WithdrawalInvestmentPlan

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

L. CashSettlement

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

M. ServiceLevelAgreement

Identifies documents to be provided for the account opening.

N. AdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

## 3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctDtlsConf>	[1..1]		C22, C33	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		43
	<b>OrderReference</b> <OrdRef>	[0..1]	±		43
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		44
	<b>ConfirmationDetails</b> <ConfDtls>	[1..1]			44
	<b>ConfirmationType</b> <ConfTp>	[1..1]	±		44
	<b>AccountApplicationIdentification</b> <AcctApplId>	[0..1]	Text		45
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		45
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		45
	<b>ExistingAccountIdentification</b> <ExstgAcctId>	[0..*]	±		45
	<b>InvestmentAccount</b> <InvstmtAcct>	[0..1]	±	C21, C31, C17	46
	<b>AccountParties</b> <AcctPties>	[0..1]	±		48
	<b>Intermediaries</b> <Intrmies>	[0..*]	±		49
	<b>Placement</b> <Plcmnt>	[0..1]	±	C30	50
	<b>NewIssueAllocation</b> <NewIssseAllcn>	[0..1]	±		50
	<b>SavingsInvestmentPlan</b> <SvgsInvstmtPlan>	[0..50]	±	C3	51
	<b>WithdrawalInvestmentPlan</b> <WdrwlInvstmtPlan>	[0..10]	±	C3	52
	<b>CashSettlement</b> <CshSttlm>	[0..8]	±		53
	<b>ServiceLevelAgreement</b> <SvcLvlAgrmt>	[0..30]	±		54
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		55
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		55
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	56

## 3.3 Constraints

### C1 ActiveCurrency

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

**C2 ActiveOrHistoricCurrency**

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

**C3 AmountRule**

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

**C4 AnyBIC**

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

**C5 BICFI**

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

**C6 ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

**C7 ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

**C8 ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

**C9 ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

**C10 ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

**C11 ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

**C12 Country**

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

**C13 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C14 EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

**C15 EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

**C16 ExtensionRule**

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

**C17 FinancialInstrumentDetailsGuideline**

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

**C18 HoldingCertificateNumberRule**

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

**C19 IBAN**

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

**C20 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C21 IncomePreferenceReinvestment1Rule**

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

**C22 InvestmentAccountRule**

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

*This constraint is defined at the MessageDefinition level.*

**C23 MailingIndicatorRule**

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

**C24 OrganisationElementRule**

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

**C25 OwnershipBeneficiaryRateRule**

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

**C26 PartialHoldingUnits1Rule**

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

**C27 PartialHoldingUnits2Rule**

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

**C28 PartialHoldingUnits3Rule**

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

**C29 PoliticallyExposedPersonTypeRule**

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

**C30 ReferredPlacementAgentRule**

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

**C31 ReinvestmentPercentage1Rule**

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

**C32 StatusElementRule**

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

**C33 UnitRule**

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

On Condition

/SavingsInvestmentPlan[\*] is present

Following Must be True

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

*This constraint is defined at the MessageDefinition level.*

**C34 ValidationByTable**

Must be a valid terrestrial language.

**C35 ValidationByTable**

Must be a valid nationality.

## 3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 3.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 3.4.2 OrderReference <OrdRef>

*Presence:* [0..1]

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

**OrderReference <OrdRef>** contains the following elements (see "InvestmentFundOrder4" on page 1538 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1538
	MasterReference <MstrRef>	[0..1]	Text		1538

### 3.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference13" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

### 3.4.4 ConfirmationDetails <ConfDtls>

*Presence:* [1..1]

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

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

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

#### 3.4.4.1 ConfirmationType <ConfTp>

*Presence:* [1..1]

*Definition:* Specifies the confirmation type.



**ConfirmationType <ConfTp>** contains one of the following elements (see ["ConfirmationType1Choice"](#) on page 990 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		991
Or}	Proprietary <Prtry>	[1..1]	±		991

#### 3.4.4.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text"](#) on page 2536

#### 3.4.4.3 ClientReference <CIntRef>

*Presence:* [0..1]

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

*Datatype:* ["Max35Text"](#) on page 2536

#### 3.4.4.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

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

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

#### 3.4.4.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

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

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

### 3.4.5 InvestmentAccount <InvstmtAcct>

*Presence:* [0..1]

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

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

**InvestmentAccount <InvstmtAcct>** contains the following elements (see "InvestmentAccount74" on page 1369 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1371
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	1371
	BlockedStatus <BlckdSts>	[0..1]	±		1373
	StatusDate <StsDt>	[0..1]	±		1373
	Name <Nm>	[0..1]	Text		1374
	Designation <Dsgnt>	[0..1]	Text		1374
	Type <Tp>	[0..1]	±		1374
	OwnershipType <OwnrshTp>	[0..1]	±		1374
	TaxExemption <TaxXmptn>	[0..1]	±		1375
	StatementFrequency <StmtFrqcy>	[0..1]	±		1375
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1375
	Language <Lang>	[0..1]	CodeSet	C34	1375
	IncomePreference <IncmPref>	[0..1]	CodeSet		1376
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1376
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1376
	TaxReporting <TaxRptg>	[0..*]	±		1377
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1378
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1379
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1379
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1379
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1379
	RoundingDetails <RndgDtls>	[0..1]	±		1380
	AccountServicer <AcctSvcr>	[0..1]	±		1381
	AccountUsageType <AcctUsgrTp>	[0..1]	±		1381
	ForeignStatusCertification <FrgrStsCertfctn>	[0..1]	CodeSet		1381
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1381
	TransactionChannelType <TxChanlTp>	[0..1]	±		1382

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1382
	Pledging <Pldgg>	[0..1]	CodeSet		1382
	Collateral <Coll>	[0..1]	CodeSet		1382
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1383
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1383
	AccountingStatus <AcctgSts>	[0..1]	±		1383
	OpeningDate <OpngDt>	[0..1]	±		1384
	ClosingDate <ClsgDt>	[0..1]	±		1384
	NegativeIndicator <NegInd>	[0..1]	Indicator		1384
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1384
	Liability <Lbilty>	[0..1]	±		1384
	InvestorProfile <InvstrPrfl>	[0..*]	±		1385
	FiscalYear <FscYr>	[0..1]	±		1386

#### Constraints

- **FinancialInstrumentDetailsGuideline**

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

- **IncomePreferenceReinvestment1Rule**

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

On Condition

/IncomePreference is equal to value 'Cash'

Following Must be True

/ReinvestmentDetails[\*] Must be absent

- **ReinvestmentPercentage1Rule**

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

### 3.4.6 AccountParties <AcctPties>

*Presence:* [0..1]

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

**AccountParties <AcctPties>** contains the following elements (see "AccountParties17" on page 1815 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1816
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1816
Or	Trustee <Trstee>	[1..5]	±		1818
Or	Nominee <Nmnee>	[1..1]	±		1820
Or}	JointOwner <JntOwnr>	[1..5]	±		1822
	SecondaryOwner <ScndryOwnr>	[0..*]	±		1824
	Beneficiary <Bnfcry>	[0..*]	±		1826
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		1828
	LegalGuardian <LglGuardn>	[0..*]	±		1830
	CustodianForMinor <CtdnForMnr>	[0..*]	±		1832
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		1834
	Administrator <Admstr>	[0..*]	±		1836
	OtherParty <OthrPty>	[0..*]	±		1838
	Granter <Grntr>	[0..*]	±		1838
	Settlor <Sttlr>	[0..*]	±		1840
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		1842
	Protector <Prtctr>	[0..*]	±		1844
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		1846

### 3.4.7 Intermediaries <Intrmies>

*Presence:* [0..\*]

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

**Intermediaries <Intrmies>** contains the following elements (see "Intermediary46" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1871
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1871
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1872
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1872
	Account <Acct>	[0..1]			1872
	Identification <Id>	[0..1]	Text		1872
	AccountServicer <AcctSvcr>	[1..1]	±		1872
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		1873
	Role <Role>	[0..1]	±		1873
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1873
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1874
	NameAndAddress <NmAndAdr>	[0..1]	±		1874

### 3.4.8 Placement <Plcmnt>

*Presence:* [0..1]

*Definition:* Confirmation of referral information.

*Impacted by:* C30 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 1867 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		1867
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		1867

#### Constraints

- ReferredPlacementAgentRule**

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

### 3.4.9 NewIssueAllocation <NewIsseAllcn>

*Presence:* [0..1]

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

**NewIssueAllocation <NewIsseAllcn>** contains the following elements (see "NewIssueAllocation2" on page 1688 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1689
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1689
	DeMinimus <DeMnms>	[0..1]	±		1689

### 3.4.10 SavingsInvestmentPlan <SvgsInvstmtPlan>

*Presence:* [0..50]

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

*Impacted by:* C3 "AmountRule"

**SavingsInvestmentPlan <SvgsInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1592
	StartDate <StartDt>	[0..1]	Date		1593
	EndDate <EndDt>	[0..1]	Date		1593
	Quantity <Qty>	[1..1]	±		1593
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1593
	IncomePreference <IncmPref>	[0..1]	CodeSet		1593
	InitialAmount <InitlAmt>	[0..1]	±		1594
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1594
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1594
	SecurityDetails <SctyDtls>	[1..50]			1594
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596
	CashSettlement <CshSttlm>	[0..8]	±		1597
	ContractReference <CtrctRef>	[0..1]	Text		1597
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1598
	ProductIdentification <PdctId>	[0..1]	Text		1598
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1598
	InsuranceCover <InsrncCover>	[0..1]	±		1598
	PlanStatus <PlanSts>	[0..1]	±		1598
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1599

#### Constraints

- **AmountRule**

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

### 3.4.11 WithdrawalInvestmentPlan <WdrwlInvstmtPlan>

*Presence:* [0..10]

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



Impacted by: C3 "AmountRule"

**WithdrawalInvestmentPlan <WdrwlInvstmtPlan>** contains the following elements (see "InvestmentPlan17" on page 1591 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1592
	StartDate <StartDt>	[0..1]	Date		1593
	EndDate <EndDt>	[0..1]	Date		1593
	Quantity <Qty>	[1..1]	±		1593
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1593
	IncomePreference <IncmPref>	[0..1]	CodeSet		1593
	InitialAmount <InitlAmt>	[0..1]	±		1594
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1594
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1594
	SecurityDetails <SctyDtls>	[1..50]			1594
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596
	CashSettlement <CshSttlm>	[0..8]	±		1597
	ContractReference <CtrctRef>	[0..1]	Text		1597
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1598
	ProductIdentification <PdctId>	[0..1]	Text		1598
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1598
	InsuranceCover <InsrncCover>	[0..1]	±		1598
	PlanStatus <PlanSts>	[0..1]	±		1598
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1599

#### Constraints

- **AmountRule**

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

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

### 3.4.12 CashSettlement <CshSttlm>

Presence: [0..8]

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

**CashSettlement <CshSttlm>** contains the following elements (see "CashSettlement3" on page 2167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2168
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2169
	Identification <Id>	[1..1]	±		2169
	AccountOwner <AcctOwnr>	[0..1]	±		2170
	AccountServicer <AcctSvcr>	[0..1]	±		2170
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2170
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2171
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2171
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2171
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2172
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountPurpose <CshAcctPurp>	[0..1]			2173
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2174
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174
	DividendPercentage <DvddPctg>	[0..1]	Rate		2174
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2175

### 3.4.13 ServiceLevelAgreement <SvcLvlAgrmt>

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

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

**ServiceLevelAgreement <SvcLvlAgrmt>** contains the following elements (see "DocumentToSend4" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2142
	Recipient <Rcpt>	[1..1]	±		2143
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2143
{Or	Code <Cd>	[1..1]	CodeSet		2143
Or}	Proprietary <Prtry>	[1..1]	±		2143

### 3.4.14 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

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

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditiononallInformation13" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

### 3.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 3.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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

## 4 **acmt.003.001.08**

# **AccountModificationInstructionV08**

### 4.1 **MessageDefinition Functionality**

#### Scope

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

#### Usage

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

The AccountModificationInstruction message can be used to:

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

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

Execution of the AccountModificationInstruction is confirmed via an AccountDetailsConfirmation message.

#### Outline

The AccountModificationInstructionV08 MessageDefinition is composed of 16 MessageBuildingBlocks:

#### A. MessageIdentification

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

#### B. PreviousReference

Reference to a linked message that was previously sent.

#### C. InstructionDetails

Information about the modification instruction.

#### D. InvestmentAccountSelection

Identifies the account for which the information is modified.

#### E. ModifiedInvestmentAccount

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

F. ModifiedAccountParties

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

G. ModifiedIntermediaries

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

H. ModifiedPlacement

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

I. ModifiedIssueAllocation

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

J. ModifiedSavingsInvestmentPlan

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

K. ModifiedWithdrawalInvestmentPlan

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

L. ModifiedCashSettlement

Cash settlement standing instruction to be either inserted or deleted.

M. ModifiedServiceLevelAgreement

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

N. ModifiedAdditionalInformation

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

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

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

## 4.2 Structure

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

## 4.3 Constraints

### C1 AccountDataElementRule

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

**C2 AccountElementRule**

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

**C3 ActiveCurrency**

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

**C4 ActiveOrHistoricCurrency**

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

**C5 AddressRule**

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

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

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

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

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

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

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

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

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

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



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

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

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

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

#### **C6 AmountRule**

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

#### **C7 AnyBIC**

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

#### **C8 BICFI**

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

#### **C9 Country**

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

#### **C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

#### **C11 ExtensionRule**

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

#### **C12 FinancialInstrumentDetailsGuideline**

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

#### **C13 HoldingCertificateNumberRule**

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

#### **C14 IBAN**

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

#### **C15 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C17 IncomePreferenceReinvestmentRule**

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

**C18 InstructionDetailsElementRule**

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

**C19 MailingIndicatorRule**

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

**C20 OrganisationElementRule**

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

**C21 OrganisationIdentificationRule**

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

**C22 OwnershipBeneficiaryRateRule**

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

**C23 PartialHoldingUnits1Rule**

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

**C24 PartialHoldingUnits2Rule**

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

**C25 PartialHoldingUnits3Rule**

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

**C26 PoliticallyExposedPersonTypeRule**

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

**C27 ReasonElementRule**

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

**C28 ReferredPlacementAgentRule**

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

**C29 ReinvestmentPercentageRule**

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

**C30 UnitRule**

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

On Condition

/ModifiedSavingsInvestmentPlan[\*] is present

Following Must be True

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

*This constraint is defined at the MessageDefinition level.*

**C31 ValidationByTable**

Must be a valid terrestrial language.

**C32 ValidationByTable**

Must be a valid nationality.

## 4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 4.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 4.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference13](#)" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

### 4.4.3 InstructionDetails <InstrDtls>

*Presence:* [0..1]

*Definition:* Information about the modification instruction.

*Impacted by:* C18 "InstructionDetailsElementRule"

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

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

#### Constraints

- **InstructionDetailsElementRule**

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

#### 4.4.3.1 ModificationReason <ModRsn>

*Presence:* [0..1]

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

*Datatype:* "Max350Text" on page 2536

#### 4.4.3.2 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

#### 4.4.3.3 ClientReference <CIntRef>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

#### 4.4.3.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

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

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

#### 4.4.3.5 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

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

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see ["Account23"](#) on page 992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

### 4.4.4 InvestmentAccountSelection <InvstmtAcctSelctn>

*Presence:* [1..1]

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

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

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

#### 4.4.4.1 AccountIdentification <AcctId>

*Presence:* [1..1]

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

*Datatype:* ["Max35Text"](#) on page 2536

#### 4.4.4.2 OtherAccountSelectionData <OthrAcctSelctnData>

*Presence:* [1..1]

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

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

**OtherAccountSelectionData <OthrAcctSelctnData>** contains the following elements (see "InvestmentAccount76" on page 1455 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1456
	Designation <Dsgnt>	[0..1]	Text		1456
	FundType <FndTp>	[0..1]	Text		1456
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1456
	SecurityDetails <SctyDtls>	[0..1]		C15	1456
	Identification <Id>	[1..1]	±		1457
	Name <Nm>	[0..1]	Text		1458
	ShortName <ShrtNm>	[0..1]	Text		1458
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1458
	ClassType <ClsTp>	[0..1]	Text		1459
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1459
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1459
	ProductGroup <PdctGrp>	[0..1]	Text		1459
	AccountOwner <AcctOwnr>	[0..1]			1459
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1460
{Or	IdentificationNumber <IdNb>	[1..1]	±		1460
Or}	PersonName <PrsnNm>	[1..1]	±		1460
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1461
	Intermediary <Intrmy>	[0..*]	±		1461
	AccountServicer <AcctSvcr>	[0..1]	±		1462

#### Constraints

- **AccountDataElementRule**

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

## 4.4.5 ModifiedInvestmentAccount <ModfdInvstmtAcct>

*Presence:* [0..1]

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

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

**ModifiedInvestmentAccount <ModfdInvstmtAcct>** contains the following elements (see "InvestmentAccount75" on page 1438 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		1440
	Name <Nm>	[0..1]	Text		1441
	Designation <Dsgnt>	[0..1]	Text		1441
	Type <Tp>	[0..1]	±		1441
	OwnershipType <OwnrshTp>	[0..1]	±		1441
	TaxExemption <TaxXmptn>	[0..1]	±		1442
	StatementFrequency <StmtFrqcy>	[0..1]	±		1442
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1442
	Language <Lang>	[0..1]	CodeSet	C34	1443
	IncomePreference <IncmPref>	[0..1]	CodeSet		1443
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1443
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1443
	TaxReporting <TaxRptg>	[0..*]	±		1444
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1445
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1446
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1446
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1446
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			1446
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1446
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1447
	RoundingDetails <RndgDtls>	[0..1]	±		1448
	AccountServicer <AcctSvcr>	[0..1]	±		1448
	BlockedStatus <BlckdSts>	[0..1]	±		1448
	AccountUsageType <AcctUsgTp>	[0..1]	±		1449
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1449
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1449
	TransactionChannelType <TxChanITp>	[0..1]	±		1450
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1450
	Pledging <Pldg>	[0..1]	CodeSet		1450
	Collateral <Coll>	[0..1]	CodeSet		1450

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1451
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1451
	AccountingStatus <AcctgSts>	[0..1]	±		1451
	OpeningDate <OpngDt>	[0..1]	±		1452
	ClosingDate <ClsgDt>	[0..1]	±		1452
	NegativeIndicator <NegInd>	[0..1]	Indicator		1452
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1452
	Liability <Lbilty>	[0..1]	±		1452
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			1453
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1453
	InvestorProfile <InvstrPrfl>	[1..1]	±		1453
	FiscalYear <FscYr>	[0..1]	±		1454

## Constraints

### • AccountElementRule

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

### • FinancialInstrumentDetailsGuideline

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

### • IncomePreferenceReinvestmentRule

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

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

### • ReinvestmentPercentageRule

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



## 4.4.6 ModifiedAccountParties <ModfdAcctPties>

*Presence:* [0..\*]

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

*Impacted by:* C5 "AddressRule"

**ModifiedAccountParties <ModfdAcctPties>** contains the following elements (see "AccountParties18" on page 1781 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1783
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			1783
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1783
Or	Trustee <Trstee>	[1..5]	±		1785
Or	Nominee <Nmnee>	[1..1]	±		1787
Or}	JointOwner <JntOwnr>	[1..5]	±		1789
	SecondaryOwner <ScndryOwnr>	[0..*]	±		1791
	Beneficiary <Bnfcry>	[0..*]	±		1793
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		1795
	LegalGuardian <LglGuardn>	[0..*]	±		1797
	CustodianForMinor <CtdnForMnr>	[0..*]	±		1799
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		1801
	Administrator <Admstr>	[0..*]	±		1803
	OtherParty <OthrPty>	[0..*]	±		1805
	Granter <Grntr>	[0..*]	±		1805
	Settlor <Sttlr>	[0..*]	±		1808
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		1810
	Protector <Prctr>	[0..*]	±		1812
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		1814

### Constraints

- **AddressRule**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 4.4.7 ModifiedIntermediaries <ModfdIntrmies>

*Presence:* [0..\*]

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

**ModifiedIntermediaries <ModfdIntrmies>** contains the following elements (see "[ModificationScope40](#)" on page 1848 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1848
	Intermediary <Intrmy>	[1..1]	±		1848

#### 4.4.8 ModifiedPlacement <ModfdPlcmnt>

*Presence:* [0..1]

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

**ModifiedPlacement <ModfdPlcmnt>** contains the following elements (see "[ModificationScope43](#)" on page 1847 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1847
	Placement <Plcmnt>	[1..1]	±	C30	1847

#### 4.4.9 ModifiedIssueAllocation <ModfdlsseAllcn>

*Presence:* [0..1]

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

**ModifiedIssueAllocation <ModfdlsseAllcn>** contains the following elements (see "ModificationScope21" on page 1684 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1684
	IssueAllocation <IsseAllcn>	[1..1]	±		1684

#### 4.4.10 ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan>

*Presence:* [0..50]

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

**ModifiedSavingsInvestmentPlan <ModfdSvgsInvstmtPlan>** contains the following elements (see "ModificationScope41" on page 1583 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1583
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1584
	Frequency <Frqcy>	[1..1]	±		1585
	StartDate <StartDt>	[0..1]	Date		1585
	EndDate <EndDt>	[0..1]	Date		1585
	Quantity <Qty>	[1..1]	±		1585
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1585
	IncomePreference <IncmPref>	[0..1]	CodeSet		1586
	InitialAmount <InitlAmt>	[0..1]	±		1586
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1586
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1586
	SecurityDetails <SctyDtls>	[1..50]			1587
	Quantity <Qty>	[1..1]	±		1587
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1587
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1588
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1589
	ContractReference <CtrctRef>	[0..1]	Text		1590
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1590
	ProductIdentification <PdctId>	[0..1]	Text		1590
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1590
	InsuranceCover <InsrncCover>	[0..1]	±		1590
	PlanStatus <PlanSts>	[0..1]	±		1590
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1591

#### 4.4.11 ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>

*Presence:* [0..10]

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

**ModifiedWithdrawalInvestmentPlan <ModfdWdrwlInvstmtPlan>** contains the following elements  
(see "ModificationScope41" on page 1583 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1583
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1584
	Frequency <Frqcy>	[1..1]	±		1585
	StartDate <StartDt>	[0..1]	Date		1585
	EndDate <EndDt>	[0..1]	Date		1585
	Quantity <Qty>	[1..1]	±		1585
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1585
	IncomePreference <IncmPref>	[0..1]	CodeSet		1586
	InitialAmount <InitlAmt>	[0..1]	±		1586
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1586
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1586
	SecurityDetails <SctyDtls>	[1..50]			1587
	Quantity <Qty>	[1..1]	±		1587
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1587
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1588
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1589
	ContractReference <CtrctRef>	[0..1]	Text		1590
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1590
	ProductIdentification <PdctId>	[0..1]	Text		1590
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1590
	InsuranceCover <InsrncCover>	[0..1]	±		1590
	PlanStatus <PlanSts>	[0..1]	±		1590
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1591

#### 4.4.12 ModifiedCashSettlement <ModfdCshSttlm>

*Presence:* [0..8]

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

**ModifiedCashSettlement <ModfdCshSttlm>** contains the following elements (see "CashSettlement4" on page 2175 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2176
	CashAccountDetails <CshAcctDtls>	[0..*]			2176
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2177
	Identification </id>	[1..1]	±		2178
	AccountOwner <AcctOwnr>	[0..1]	±		2178
	AccountServicer <AcctSvcr>	[0..1]	±		2178
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2179
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2179
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2179
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2180
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2180
{Or	Code <Cd>	[1..1]	CodeSet		2180
Or}	Proprietary <Prtry>	[1..1]	±		2181
	CashAccountPurpose <CshAcctPurp>	[0..1]			2181
{Or	Code <Cd>	[1..1]	CodeSet		2181
Or}	Proprietary <Prtry>	[1..1]	±		2182
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2182
{Or	Code <Cd>	[1..1]	CodeSet		2182
Or}	Proprietary <Prtry>	[1..1]	±		2182
	DividendPercentage <DvddPctg>	[0..1]	Rate		2183
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2183

#### 4.4.13 ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt>

*Presence:* [0..30]

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

**ModifiedServiceLevelAgreement <ModfdSvcLvlAgrmt>** contains the following elements (see "ModificationScope44" on page 2144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2144
	ServiceLevelAgreement <SvcLvlAgrmt>	[1..1]	±		2144

#### 4.4.14 ModifiedAdditionalInformation <ModfdAddtlInf>

*Presence:* [0..\*]

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

**ModifiedAdditionalInformation <ModfdAddtlInf>** contains the following elements (see "ModificationScope45" on page 1676 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1677
	AdditionalInformation <AddtlInf>	[1..*]	±		1677

#### 4.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

#### 4.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

**Constraints**

- **ExtensionRule**

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



## **5 acmt.005.001.06 RequestForAccountManagementStatusReportV06**

### **5.1 MessageDefinition Functionality**

#### Scope

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

#### Usage

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

#### Outline

The RequestForAccountManagementStatusReportV06 MessageDefinition is composed of 2 MessageBuildingBlocks:

##### **A. MessageIdentification**

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

##### **B. RequestDetails**

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

## 5.2 Structure

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

## 5.3 Constraints

### C1 AnyBIC

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

### C2 Country

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

### C3 LinkedReferenceOrAccountApplicationIdentificationRule

Either LinkedReference or AccountApplicationIdentification must be present.

**C4 OtherReferenceGuideline**

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

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

**C5 PreviousReferenceGuideline**

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

## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 5.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 5.4.2 RequestDetails <ReqDtls>

*Presence:* [1..1]

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

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

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

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

#### Constraints

- **LinkedReferenceOrAccountApplicationIdentificationRule**

Either LinkedReference or AccountApplicationIdentification must be present.

#### 5.4.2.1 LinkedReference <LkdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message.

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

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

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

**Constraints**

- **OtherReferenceGuideline**

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

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

- **PreviousReferenceGuideline**

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

**5.4.2.1.1 PreviousReference <PrvsRef>**

*Presence:* [1..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

**5.4.2.1.2 OtherReference <OthrRef>**

*Presence:* [1..1]

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

**OtherReference <OthrRef>** contains the following elements (see ["AdditionalReference13"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

**5.4.2.2 StatusRequestType <StsReqTp>**

*Presence:* [1..1]

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

*Datatype:* ["AccountManagementType3Code"](#) on page 2413

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

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

### 5.4.2.3 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

### 5.4.2.4 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..1]

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

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see "Account23" on page 992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

### 5.4.2.5 InvestmentAccount <InvstmtAcct>

*Presence:* [0..1]

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

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

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

**5.4.2.5.1 AccountIdentification <AcctId>**

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2536

**5.4.2.5.2 AccountName <AcctNm>**

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

**5.4.2.5.3 AccountDesignation <AcctDsgnt>**

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

**5.4.2.5.4 OwnerIdentification <OwnrId>**

*Presence:* [0..1]

*Definition:* Identification of the owner of the account.

**OwnerIdentification <OwnrId>** contains one of the following **OwnerIdentification3Choice** elements

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

**5.4.2.5.4.1 IndividualOwnerIdentification <IndvOwnrId>**

*Presence:* [1..1]

*Definition:* Identification of the individual person.

**IndividualOwnerIdentification <IndvOwnrId>** contains one of the following **IndividualPersonIdentification2Choice** elements

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

**5.4.2.5.4.1.1 IdentificationNumber <IdNb>***Presence:* [1..1]*Definition:* Identification of a party, such as a tax or social security identifier.**IdentificationNumber <IdNb>** contains the following elements (see "[GenericIdentification81](#)" on page 1357 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1357
	IdentificationType <IdTp>	[1..1]			1357
{Or	Code <Cd>	[1..1]	CodeSet		1357
Or}	Proprietary <Prtry>	[1..1]	±		1358

**5.4.2.5.4.1.2 PersonName <PrsnNm>***Presence:* [1..1]*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').**PersonName <PrsnNm>** contains the following elements (see "[IndividualPerson30](#)" on page 2026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2026
	MiddleName <MddlNm>	[0..1]	Text		2026
	Name <Nm>	[1..1]	Text		2026
	Gender <Gndr>	[0..1]	CodeSet		2026
	BirthDate <BirthDt>	[0..1]	Date		2027

**5.4.2.5.4.2 OrganisationOwnerIdentification <OrgOwnrId>***Presence:* [1..1]*Definition:* Identification of an organisation.**OrganisationOwnerIdentification <OrgOwnrId>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

**5.4.2.5.5 AccountServicer <AcctSvcr>***Presence:* [0..1]



*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

## 6 **acmt.006.001.07** **AccountManagementStatusReportV07**

### 6.1 **MessageDefinition Functionality**

#### Scope

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

#### Usage

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

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

#### Outline

The AccountManagementStatusReportV07 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. RelatedReference

Reference to a linked message that was previously received.

C. StatusReport

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

D. MarketPracticeVersion

Identifies the market practice to which the message conforms.

E. Extension

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

## 6.2 Structure

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

## 6.3 Constraints

### C1 AnyBIC

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

### C2 ClosedStatus1Rule

If Closed is present then Enabled is not allowed.

### C3 ClosedStatus2Rule

If Closed is present then Disabled is not allowed.

### C4 ClosedStatus3Rule

If Closed is present then Pending is not allowed.

### C5 ClosedStatus4Rule

If Closed is present then PendingOpening is not allowed.

**C6 ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

**C7 ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

**C8 Country**

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

**C9 EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

**C10 EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

**C11 ExtensionRule**

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

**C12 StatusElementRule**

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

## 6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 6.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 6.4.2 RelatedReference <RltdRef>

*Presence:* [1..2]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference13" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	ReferenceIssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

### 6.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

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

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

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

#### 6.4.3.1 Status <Sts>

*Presence:* [1..1]

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

**Status <Sts>** contains one of the following elements (see "Status25Choice" on page 2213 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2213
Or}	Rejected <Rjctd>	[1..10]	±		2214

#### 6.4.3.2 StatusReason <StsRsn>

*Presence:* [0..\*]

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

**StatusReason <StsRsn>** contains one of the following elements (see "AcceptedStatusReason1Choice" on page 2239 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2239
Or}	Proprietary <Prtry>	[1..1]	±		2239

#### 6.4.3.3 AccountApplicationIdentification <AcctApplId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

#### 6.4.3.4 ExistingAccountIdentification <ExstgAcctId>

*Presence:* [0..\*]

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

**ExistingAccountIdentification <ExstgAcctId>** contains the following elements (see "Account23" on page 992 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

#### 6.4.3.5 AccountIdentification <AcctId>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

#### 6.4.3.6 AccountStatus <AcctSts>

*Presence:* [0..1]

*Definition:* Status of the account.

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

**AccountStatus <AcctSts>** contains the following elements (see "AccountStatus2" on page 2244 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2245
	Disabled <Dsbl>	[0..1]	±		2246
	Pending <Pdg>	[0..1]	±		2246
	PendingOpening <PdgOpng>	[0..1]	±		2246
	Proforma <Profrm>	[0..1]	±		2247
	Closed <Clsd>	[0..1]	±		2247
	ClosurePending <ClsrPdg>	[0..1]	±		2248
	Other <Othr>	[0..*]	±		2248

#### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

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

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

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

- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

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

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

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

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

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

- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

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

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

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

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

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

- **StatusElementRule**

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

#### 6.4.3.7 BlockedStatus <BlckdSts>

*Presence:* [0..1]

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

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2262
Or}	Reason <Rsn>	[1..*]			2263
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266

#### 6.4.3.8 FATCARreportingDate <FATCARptgDt>

*Presence:* [0..1]



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

*Datatype:* ["ISODate" on page 2521](#)

#### 6.4.3.9 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

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

*Datatype:* ["ISODate" on page 2521](#)

### 6.4.4 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1" on page 1734](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 6.4.5 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C11 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1" on page 1664](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- ExtensionRule**

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

# 7 **camt.040.001.04** **FundEstimatedCashForecastReportV04**

## 7.1 **MessageDefinition Functionality**

### Scope

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

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

### Usage

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

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

The message structure allows for the following uses:

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

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

### Outline

The FundEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Identifies the message.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MessagePagination  
Pagination of the message.
- F. FundOrSubFundDetails  
Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.
- G. EstimatedFundCashForecastDetails  
Information related to the estimated cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches.
- H. ConsolidatedNetCashForecast  
Estimated net cash as a result of the cash-in and cash-out flows.
- I. Extension  
Additional information that can not be captured in the structured fields and/or any other specific block.

## 7.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndEstmtdCshFcstRpt>	[1..1]		C7, C16, C17, C18, C19	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		98
	<b>PoolReference</b> <PoolRef>	[0..1]	±		99
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		99
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		99
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		100
	<b>FundOrSubFundDetails</b> <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	100
	<b>EstimatedFundCashForecastDetails</b> <EstmtdFndCshFcstDtls>	[0..*]	±	C10	102
	<b>ConsolidatedNetCashForecast</b> <CnsltdNetCshFcst>	[0..1]	±		103
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	104

## 7.3 Constraints

### C1 ActiveCurrency

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

### C2 ActiveOrHistoricCurrency

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

### C3 AdditionalBalanceRule

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

### C4 AdditionalBalanceRule

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

## **C5 AdditionalBalanceRule**

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

## **C6 AnyBIC**

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

## **C7 ConsolidatedNetCashRule**

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

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /EstimatedFundCashForecastDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

## **C8 Country**

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

## **C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

## **C10 ExceptionalCashFlowIndicatorRule**

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

## **C11 ExtensionRule**

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

## **C12 FinancialInstrumentIdentificationGuideline**

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

## **C13 FundIdentification1Rule**

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

## **C14 FundIdentification2Rule**

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

#### **C15 FundIdentification3Rule**

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

#### **C16 FundOrSubFundAndShareClassGuideline**

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

*This constraint is defined at the MessageDefinition level.*

#### **C17 PreviousTradeDateRule**

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

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

*This constraint is defined at the MessageDefinition level.*

#### **C18 TradeDate1Rule**

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

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

*This constraint is defined at the MessageDefinition level.*

#### **C19 TradeDate2Rule**

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

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

*This constraint is defined at the MessageDefinition level.*

## **7.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **7.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 7.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 7.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 7.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 7.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 7.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

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

*Impacted by:* C13 "FundIdentification1Rule", C14 "FundIdentification2Rule", C15 "FundIdentification3Rule"



**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund1" on page 1524 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1526
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1526
	Identification <Id>	[0..1]			1526
	Identification <Id>	[1..1]	Text		1526
	Type <Tp>	[1..1]	±		1526
	Currency <Ccy>	[0..1]	CodeSet	C3	1527
	TradeDateTime <TradDtTm>	[0..1]	±		1527
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1527
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	1528
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1528
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1528
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1529
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1529
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		1529
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		1529
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			1529
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1530
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1530
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1530
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1530

## Constraints

### • FundIdentification1Rule

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

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

### • FundIdentification2Rule

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

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

- **FundIdentification3Rule**

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

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

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

*Presence:* [0..\*]

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

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>** contains the following elements  
(see "EstimatedFundCashForecast6" on page 1517 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1518
	TradeDateTime <TradDtTm>	[1..1]	±		1518
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1518
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1518
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	1519
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1519
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1520
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1520
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1520
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1520
	CurrencyStatus <CcySts>	[0..1]	±		1521
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1521
	Price <Pric>	[0..1]	±		1521
	ForeignExchangeRate <FXRate>	[0..1]	±		1521
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		1522
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	1522
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	1523
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	1523

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

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

## 7.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

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

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

## 7.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

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

# 8 camt.041.001.04 FundConfirmedCashForecastReportV04

## 8.1 MessageDefinition Functionality

### Scope

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

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

### Usage

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

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

The message structure allows for the following uses:

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

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

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

### Outline

The FundConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

#### A. MessageIdentification

Identifies the message.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

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

G. FundCashForecastDetails

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

H. ConsolidatedNetCashForecast

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

I. Extension

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

## 8.2 Structure

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

## 8.3 Constraints

### C1 ActiveCurrency

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

### C2 ActiveOrHistoricCurrency

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

### C3 AdditionalBalanceRule

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

### C4 AdditionalBalanceRule

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

**C5 AdditionalBalanceRule**

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

**C6 AnyBIC**

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

**C7 ConsolidatedNetCashRule**

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

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /FundCashForecastDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 ExceptionalCashFlowIndicatorRule**

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

**C11 ExtensionRule**

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

**C12 FinancialInstrumentIdentificationGuideline**

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

**C13 FundIdentification1Rule**

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

**C14 FundIdentification2Rule**

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



#### **C15 FundIdentification3Rule**

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

#### **C16 FundOrSubFundAndShareClassGuideline**

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

*This constraint is defined at the MessageDefinition level.*

#### **C17 PreviousTradeDateRule**

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

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/PreviousTradeDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

#### **C18 TradeDate1Rule**

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

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be absent

*This constraint is defined at the MessageDefinition level.*

#### **C19 TradeDate2Rule**

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

On Condition

/FundCashForecastDetails[\*] is absent

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be present

*This constraint is defined at the MessageDefinition level.*

## **8.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **8.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 8.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 8.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 8.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 8.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 8.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

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

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

**FundOrSubFundDetails** <FndOrSubFndDtls> contains the following elements (see "Fund2" on page 1492 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1493
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1493
	Identification <Id>	[0..1]			1493
	Identification <Id>	[1..1]	Text		1494
	Type <Tp>	[1..1]	±		1494
	Currency <Ccy>	[0..1]	CodeSet	C3	1494
	TradeDateTime <TradDtTm>	[0..1]	±		1494
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1494
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1495
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1495
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1495
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1496
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1496
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1496
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1496
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1497
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1497
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1497
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1497
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1498

## Constraints

### • FundIdentification1Rule

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

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

### • FundIdentification2Rule

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

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

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

- **FundIdentification3Rule**

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

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

## 8.4.7       **FundCashForecastDetails <FndCshFcstDtls>**

*Presence:* [0..\*]

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

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following elements (see "FundCashForecast7" on page 1509 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1510
	TradeDateTime <TradDtTm>	[1..1]	±		1510
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1511
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1511
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1512
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1512
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1512
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1513
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1513
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1513
	CurrencyStatus <CcySts>	[0..1]	±		1513
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1514
	Price <Pric>	[0..1]	±		1514
	ForeignExchangeRate <FXRate>	[0..1]	±		1514
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1514
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1515
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1515
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1516

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

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

### 8.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

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

**ConsolidatedNetCashForecast <CnsldNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

## 8.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

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

# 9 **camt.042.001.04** **FundDetailedEstimatedCashForecastReportV04**

## 9.1 **MessageDefinition Functionality**

### Scope

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

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

### Usage

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

The message structure allows for the following uses:

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

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

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

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

### Outline

The FundDetailedEstimatedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

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



Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

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

G. EstimatedFundCashForecastDetails

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

H. ConsolidatedNetCashForecast

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

I. Extension

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

## 9.2 Structure

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

## 9.3 Constraints

### C1 AccountOrOwner1Rule

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

### C2 AccountOrOwner2Rule

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

### C3 ActiveCurrency

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

### C4 ActiveOrHistoricCurrency

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

### C5 AdditionalBalanceRule

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

### C6 AdditionalBalanceRule

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

### C7 AdditionalBalanceRule

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

### C8 AnyBIC

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

### C9 Country

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

### C10 CurrencyAmount

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

Note: The decimal separator is a dot.

#### **C11 ExceptionalCashFlowIndicatorRule**

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### **C12 ExtensionRule**

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

#### **C13 FinancialInstrumentIdentificationGuideline**

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

#### **C14 FundIdentification1Rule**

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

#### **C15 FundIdentification2Rule**

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

#### **C16 FundIdentification3Rule**

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

#### **C17 UserDefinedRule**

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

## **9.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

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

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 9.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 9.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 9.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 9.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 9.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

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

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

**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund3" on page 1534 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1535
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1536
	Identification <Id>	[0..1]			1536
	Identification </Id>	[1..1]	Text		1536
	Type <Tp>	[1..1]	±		1536
	Currency <Ccy>	[0..1]	CodeSet	C3	1536
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	1537
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1537
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1537
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1538
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1538

#### Constraints

- **FundIdentification1Rule**

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

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

- **FundIdentification2Rule**

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

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

- **FundIdentification3Rule**

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

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

## 9.4.7 EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>

Presence: [1..\*]

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

**Impacted by:** C11 "ExceptionalCashFlowIndicatorRule"

**EstimatedFundCashForecastDetails <EstmtdFndCshFcstDtls>** contains the following elements (see "EstimatedFundCashForecast5" on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1500
	TradeDateTime <TradDtTm>	[1..1]	±		1500
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1500
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1500
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	1501
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1501
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1502
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1502
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1502
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1502
	CurrencyStatus <CcySts>	[0..1]	±		1503
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1503
	Price <Pric>	[0..1]	±		1503
	ForeignExchangeRate <FXRate>	[0..1]	±		1503
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsstTtlNAV>	[0..1]	Rate		1504
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1504
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1505
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1506
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1507
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	1508

## Constraints

- **ExceptionalCashFlowIndicatorRule**

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

## 9.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

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

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

## 9.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664



## **Constraints**

- **ExtensionRule**

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

# 10 camt.043.001.04 FundDetailedConfirmedCashForecastReport V04

## 10.1 MessageDefinition Functionality

### Scope

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

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

### Usage

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

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

The message structure allows for the following uses:

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

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

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

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

### Outline

The FundDetailedConfirmedCashForecastReportV04 MessageDefinition is composed of 9 MessageBuildingBlocks:

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

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MessagePagination

Pagination of the message.

F. FundOrSubFundDetails

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

G. FundCashForecastDetails

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

H. ConsolidatedNetCashForecast

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

I. Extension

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

## 10.2 Structure

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

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

## 10.3 Constraints

### C1 AccountOrOwner1Rule

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

### C2 AccountOrOwner2Rule

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

### C3 ActiveCurrency

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

### C4 ActiveOrHistoricCurrency

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

### C5 AdditionalBalanceRule

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

### C6 AdditionalBalanceRule

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

### C7 AdditionalBalanceRule

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

### C8 AnyBIC

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

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExceptionalCashFlowIndicatorRule**

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

**C12 ExtensionRule**

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

**C13 FinancialInstrumentIdentificationGuideline**

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

**C14 FundIdentification1Rule**

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

**C15 FundIdentification2Rule**

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

**C16 FundIdentification3Rule**

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

**C17 UserDefinedRule**

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

## 10.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 10.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 10.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

### 10.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

### 10.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 10.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 10.4.6 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

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

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



**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund4" on page 1531 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1532
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1532
	Identification <Id>	[0..1]			1532
	Identification <Id>	[1..1]	Text		1532
	Type <Tp>	[1..1]	±		1532
	Currency <Ccy>	[0..1]	CodeSet	C3	1533
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1533
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1533
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1534
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1534
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1534

#### Constraints

- **FundIdentification1Rule**

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

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

- **FundIdentification2Rule**

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

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

- **FundIdentification3Rule**

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

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

## 10.4.7 FundCashForecastDetails <FndCshFcstDtls>

Presence: [1..\*]

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

**Impacted by:** C11 "ExceptionalCashFlowIndicatorRule"

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

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

### Constraints

- ExceptionalCashFlowIndicatorRule**

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or  
BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or  
BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or  
BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or  
BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or  
BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or  
BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or  
BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### 10.4.7.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 2536

#### 10.4.7.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

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

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 10.4.7.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

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

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 10.4.7.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

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

*Impacted by:* C13 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1299 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

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

### 10.4.7.5 TotalNAV <TtlnAV>

*Presence:* [0..\*]

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

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

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 10.4.7.6 PreviousTotalNAV <PrvsTtlnAV>

*Presence:* [0..\*]

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

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

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

#### 10.4.7.7 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

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

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 10.4.7.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

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

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 10.4.7.9 TotalNAVChangeRate <TtlNAVChngRate>

*Presence:* [0..1]

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

*Datatype:* "PercentageRate" on page 2534

#### 10.4.7.10 InvestmentCurrency <InvstmtCcy>

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

Impacted by: C4 "ActiveOrHistoricCurrency"

Datatype: "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

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

#### 10.4.7.11 CurrencyStatus <CcySts>

Presence: [0..1]

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

**CurrencyStatus <CcySts>** contains the following elements (see "CurrencyDesignation1" on page 1682 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

#### 10.4.7.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>

Presence: [1..1]

*Definition:* Indicates whether the net cash flow is exceptional.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 10.4.7.13 Price <Pric>

Presence: [0..1]

*Definition:* Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "UnitPrice19" on page 2104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

#### 10.4.7.14 ForeignExchangeRate <FXRate>

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1341 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 10.4.7.15 PercentageOfShareClassTotalNAV <PctgOfShrClssttINAV>

*Presence:* [0..1]

*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 10.4.7.16 BreakdownByParty <BrkdwnByPty>

*Presence:* [0..\*]

*Definition:* Cash flow by party.

**BreakdownByParty <BrkdwByPty>** contains the following elements (see "BreakdownByParty3" on page 1725 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1726
	AccountIdentification <AcctId>	[0..1]	±		1727
	OwnerIdentification <OwnrId>	[0..1]	±		1727
	AccountServicer <AcctSvcr>	[0..1]	±		1727
	AdditionalParameters <AddtlParams>	[0..1]	±		1728
	CashInForecast <CshInFcst>	[0..*]		C5	1728
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1729
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1729
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1729
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1729
	CashInBreakdownDetails <CshInBrkdwDtls>	[0..*]	±		1730
	AdditionalBalance <AddtlBal>	[0..1]	±		1730
	CashOutForecast <CshOutFcst>	[0..*]		C6	1730
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1731
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1731
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1732
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1732
	CashOutBreakdownDetails <CshOutBrkdwDtls>	[0..*]	±		1732
	AdditionalBalance <AddtlBal>	[0..1]	±		1733
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1733

#### 10.4.7.17 BreakdownByCountry <BrkdwByCtry>

*Presence:* [0..\*]

*Definition:* Cash flow by country.



**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1718 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1719
	CashInForecast <CshInFcst>	[0..*]		C5	1719
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1720
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1720
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1721
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1721
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1721
	AdditionalBalance <AddtlBal>	[0..1]	±		1721
	CashOutForecast <CshOutFcst>	[0..*]		C6	1722
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1723
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1723
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1723
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1723
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1723
	AdditionalBalance <AddtlBal>	[0..1]	±		1724
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1724

#### 10.4.7.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Cash flow by currency.

**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1711 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1712
	CashOutForecast <CshOutFcst>	[0..*]		C6	1712
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1713
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1713
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1714
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1714
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1714
	AdditionalBalance <AddtlBal>	[0..1]	±		1714
	CashInForecast <CshInFcst>	[0..*]		C5	1715
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1716
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1716
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1716
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1716
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1716
	AdditionalBalance <AddtlBal>	[0..1]	±		1717
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1717

#### 10.4.7.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

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

*Impacted by:* C17 "UserDefinedRule"

**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements  
(see "BreakdownByUserDefinedParameter3" on page 1703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1704
	AccountIdentification <AcctId>	[0..1]	±		1704
	OwnerIdentification <OwnrId>	[0..1]	±		1704
	AccountServicer <AcctSvcr>	[0..1]	±		1705
	Country <Ctry>	[0..1]	CodeSet	C11	1705
	Currency <Ccy>	[0..1]	CodeSet	C3	1705
	UserDefined <UsrDfnd>	[0..1]	±		1706
	CashInForecast <CshInFcst>	[0..*]		C5	1706
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1707
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1707
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1707
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1707
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1707
	AdditionalBalance <AddtlBal>	[0..1]	±		1708
	CashOutForecast <CshOutFcst>	[0..*]		C6	1708
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1711

#### Constraints

- **UserDefinedRule**

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

#### 10.4.7.20 NetCashForecastDetails <NetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash movements per financial instrument.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

#### Constraints

- **AdditionalBalanceRule**

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

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 10.4.8 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

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

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

## 10.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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

# 11 camt.044.001.03 FundConfirmedCashForecastReportCancellationV03

## 11.1 MessageDefinition Functionality

### Scope

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

### Usage

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

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

### Outline

The FundConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

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

## 11.2 Structure

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

## 11.3 Constraints

### C1 ActiveCurrency

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

### C2 ActiveOrHistoricCurrency

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

### C3 AdditionalBalanceRule

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

### C4 AdditionalBalanceRule

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

### C5 AdditionalBalanceRule

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

**C6 AnyBIC**

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

**C7 ConsolidatedNetCashRule**

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

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 ExceptionalCashFlowIndicatorRule**

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

**C11 ExtensionRule**

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

**C12 FinancialInstrumentIdentificationGuideline**

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

**C13 FundIdentification1Rule**

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

**C14 FundIdentification2Rule**

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

**C15 FundIdentification3Rule**

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

**C16 FundOrSubFundAndShareClassGuideline**

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



#### **C17 PreviousTradeDate1Rule**

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

#### **C18 TradeDate1Rule**

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

#### **C19 TradeDate2Rule**

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

## **11.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **11.4.1 MessageIdentification <MsgId>**

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### **11.4.2 PoolReference <PoolRef>**

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

### **11.4.3 PreviousReference <PrvsRef>**

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 11.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 11.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 11.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

*Presence:* [0..1]

*Definition:* The FundDetailedConfirmedCashForecastReport to be cancelled.

*Impacted by:* [C7 "ConsolidatedNetCashRule"](#), [C16 "FundOrSubFundAndShareClassGuideline"](#), [C17 "PreviousTradeDate1Rule"](#), [C18 "TradeDate1Rule"](#), [C19 "TradeDate2Rule"](#)

**CashForecastReportToBeCancelled <CshFcstRptToBeCanc>** contains the following elements (see "FundConfirmedCashForecastReport3" on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1076
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1078
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1079
	Extension <Xtnsn>	[0..*]	±	C16	1080

### Constraints

- **ConsolidatedNetCashRule**

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

```
On Condition
  /ConsolidatedNetCashForecast is present
Following Must be True
  /FundOrSubFundDetails[*] Must be present
Or
  /FundCashForecastDetails[*] Must be present
```

- **FundOrSubFundAndShareClassGuideline**

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

- **PreviousTradeDate1Rule**

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

```
On Condition
  /FundCashForecastDetails[*] is present
Following Must be True
  /FundOrSubFundDetails[*]/PreviousTradeDateTime Must be absent
```

- **TradeDate1Rule**

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

```
On Condition
  /FundCashForecastDetails[*] is present
Following Must be True
  /FundOrSubFundDetails[*]/TradeDateTime Must be absent
```

- **TradeDate2Rule**

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

```
On Condition
  /FundCashForecastDetails[*] is absent
```

Following Must be True  
/FundOrSubFundDetails[\*]/TradeDateTime Must be present

# 12 camt.045.001.03 FundDetailedConfirmedCashForecastReport CancellationV03

## 12.1 MessageDefinition Functionality

### Scope

A report provider, such as a transfer agent, sends the FundDetailedConfirmedCashForecastReportCancellation messages to the report user, such as an investment manager, fund accountant or any other interested party, to cancel a previously sent FundDetailedConfirmedCashForecastReport.

### Usage

The FundDetailedConfirmedCashForecastReportCancellation message is used to cancel an entire FundDetailedConfirmedCashForecastReport message that was previously sent. This message must contain the reference of the message to be cancelled.

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

### Outline

The FundDetailedConfirmedCashForecastReportCancellationV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

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

## 12.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndDtldConfdCshFcstRptCxl>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		156
	<b>PoolReference</b> <PoolRef>	[0..1]	±		156
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		156
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		157
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		157
	<b>CashForecastReportToBeCancelled</b> <CshFcstRptToBeCanc>	[0..1]	±		157

## 12.3 Constraints

### C1 AccountOrOwner1Rule

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

### C2 AccountOrOwner2Rule

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

### C3 ActiveCurrency

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

### C4 ActiveOrHistoricCurrency

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

### C5 AdditionalBalanceRule

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

### C6 AdditionalBalanceRule

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

**C7 AdditionalBalanceRule**

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

**C8 AnyBIC**

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

**C9 Country**

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

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExceptionalCashFlowIndicatorRule**

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

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

**C12 ExtensionRule**

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

**C13 FinancialInstrumentIdentificationGuideline**

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

**C14 FundIdentification1Rule**

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

#### C15 FundIdentification2Rule

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

#### C16 FundIdentification3Rule

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

#### C17 UserDefinedRule

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

## 12.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 12.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Identifies the message.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 12.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

### 12.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

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



**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 12.4.4 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 12.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 12.4.6 CashForecastReportToBeCancelled <CshFcstRptToBeCanc>

*Presence:* [0..1]

*Definition:* The FundDetailedConfirmedCashForecastReport to be cancelled.

**CashForecastReportToBeCancelled <CshFcstRptToBeCanc>** contains the following elements (see "FundDetailedConfirmedCashForecastReport3" on page 1061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1062
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1063
	Identification <Id>	[1..1]	Text		1065
	TradeDateTime <TradDtTm>	[1..1]	±		1065
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1065
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1065
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1066
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1066
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1067
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1067
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1067
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1067
	CurrencyStatus <CcySts>	[0..1]	±		1068
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1068
	Price <Pric>	[0..1]	±		1068
	ForeignExchangeRate <FXRate>	[0..1]	±		1068
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1069
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1069
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1070
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1071
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1072
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1073
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1074
	Extension <Xtnsn>	[0..*]	±	C16	1074

# 13      **reda.001.001.04**

## **PriceReportV04**

### 13.1    **MessageDefinition Functionality**

#### SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReport message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to provide the net asset value and price information for financial instruments on specific trade dates and, optionally, to quote price variation information.

#### USAGE

The PriceReport message is sent by the report provider to the report recipient to:

- report prices for one or several different financial instruments for one or several different trade dates,
- report statistical information about the valuation of a financial instrument,
- inform another party that the quotation of a financial instrument is suspended,
- report prices that are used for other purposes than the execution of investment funds orders.

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#### Outline

The PriceReportV04 MessageDefinition is composed of 10 MessageBuildingBlocks:

##### A. MessageIdentification

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

##### B. PoolReference

Collective reference identifying a set of messages.

##### C. PreviousReference

Reference to a linked message that was previously sent.

##### D. RelatedReference

Reference to a linked message that was previously received.

##### E. MessagePagination

Pagination of the message.

##### F. PriceReportIdentification

Unique and unambiguous identifier for the price report, as assigned by the reporting party.

##### G. Function

Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

**H. CancellationIdentification**

Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

**I. PriceValuationDetails**

Information related to the price valuation of a financial instrument.

**J. Extension**

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

## 13.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRpt>	[1..1]		C16	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		163
	<b>PoolReference</b> <PoolRef>	[0..1]	±		164
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		164
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		164
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		165
	<b>PriceReportIdentification</b> <PricRptId>	[1..1]	Text		165
	<b>Function</b> <Fctn>	[1..1]	CodeSet		165
	<b>CancellationIdentification</b> <CxId>	[0..1]	Text		166
	<b>PriceValuationDetails</b> <PricValtnDtls>	[1..*]		C18	166
	<b>Identification</b> <Id>	[0..1]	Text		167
	<b>ValuationDateTime</b> <ValtnDtTm>	[0..1]	±		167
	<b>NAVDateTime</b> <NAVDtTm>	[1..1]	±		167
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	167
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		168
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C3, C10	168
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		169
	<b>NextValuationDateTime</b> <NxtValtnDtTm>	[0..1]	±		169
	<b>PreviousValuationDateTime</b> <PrvsValtnDtTm>	[0..1]	±		169
	<b>ValuationType</b> <ValtnTp>	[1..1]	CodeSet		169
	<b>ValuationFrequency</b> <ValtnFrqcy>	[0..1]	CodeSet		170
	<b>OfficialValuationIndicator</b> <OffclValtnInd>	[1..1]	Indicator		170
	<b>SuspendedIndicator</b> <SspdInd>	[1..1]	Indicator		171
	<b>PriceDetails</b> <PricDtls>	[0..*]	±	C8	171
	<b>ValuationStatistics</b> <ValtnSttstcs>	[0..*]	±	C11, C12, C13	173
	<b>PerformanceDetails</b> <PrfrmncDtls>	[0..1]	±	C1	175
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	176

## 13.3 Constraints

### C1 AccumulationPeriodRule

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

### C2 ActiveCurrency

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

### C3 ActiveOrHistoricCurrency

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

### C4 AmountAndOrRateRule

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

### C5 AmountAndOrRateRule

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

### C6 AmountSignRule

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

### C7 AnyBIC

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

### C8 CalculationBasisRule

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

### C9 Country

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

### C10 CurrencyAmount

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

Note: The decimal separator is a dot.

### C11 CurrencyPredefinedPeriodsRule

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

**C12 CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

**C13 CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

**C14 ExtensionRule**

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

**C15 FinancialInstrumentIdentificationGuideline**

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

**C16 NewPriceReportRule**

If Function is "NEWP" then CancellationIdentification must not be present.

On Condition

/Function is equal to value 'NewPriceReport'

Following Must be True

/CancellationIdentification Must be absent

*This constraint is defined at the MessageDefinition level.*

**C17 OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

**C18 PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

## 13.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 13.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 13.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 13.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 13.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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



**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

### 13.4.5 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

### 13.4.6 PriceReportIdentification <PricRptId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the price report, as assigned by the reporting party.

*Datatype:* ["Max35Text"](#) on page 2536

### 13.4.7 Function <Fctn>

*Presence:* [1..1]

*Definition:* Function of the price report, that is, whether the price report is a new price report or a replacement of some kind.

*Datatype:* ["PriceReportFunction1Code"](#) on page 2479

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

## 13.4.8 CancellationIdentification <CxIId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

*Datatype:* "Max35Text" on page 2536

## 13.4.9 PriceValuationDetails <PricValtnDtIs>

*Presence:* [1..\*]

*Definition:* Information related to the price valuation of a financial instrument.

*Impacted by:* C18 "PriceDetailsRule"

**PriceValuationDetails <PricValtnDtIs>** contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]	Text		167
	<b>ValuationDateTime</b> <ValtnDtTm>	[0..1]	±		167
	<b>NAVDateTime</b> <NAVDtTm>	[1..1]	±		167
	<b>FinancialInstrumentDetails</b> <FinInstrmDtIs>	[1..1]	±	C15	167
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		168
	<b>TotalNAV</b> <TtlNAV>	[0..*]	Amount	C3, C10	168
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	±		169
	<b>NextValuationDateTime</b> <NxtValtnDtTm>	[0..1]	±		169
	<b>PreviousValuationDateTime</b> <PrvsValtnDtTm>	[0..1]	±		169
	<b>ValuationType</b> <ValtnTp>	[1..1]	CodeSet		169
	<b>ValuationFrequency</b> <ValtnFrqcy>	[0..1]	CodeSet		170
	<b>OfficialValuationIndicator</b> <OffclValtnInd>	[1..1]	Indicator		170
	<b>SuspendedIndicator</b> <SspdInd>	[1..1]	Indicator		171
	<b>PriceDetails</b> <PricDtIs>	[0..*]	±	C8	171
	<b>ValuationStatistics</b> <ValtnSttstcs>	[0..*]	±	C11, C12, C13	173
	<b>PerformanceDetails</b> <PrfrmncDtIs>	[0..1]	±	C1	175

### Constraints

- **PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

### 13.4.9.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

### 13.4.9.2 ValuationDateTime <ValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the price valuation for the investment fund/fund class.

**ValuationDateTime <ValtnDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 13.4.9.3 NAVDateTime <NAVDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

**NAVDateTime <NAVDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 13.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class for which the net asset value is calculated.

*Impacted by:* C15 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument8" on page 1291 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1292
	Name <Nm>	[0..1]	Text		1292
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1292
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1293
	ClassType <ClsTp>	[0..1]	Text		1293
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1293
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1293
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1294

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

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

### 13.4.9.5 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..1]

*Definition:* Issuer of the fund.

**FundManagementCompany <FndMgmtCpny>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

### 13.4.9.6 TotalNAV <TtlNAV>

*Presence:* [0..\*]

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

*Impacted by:* C3 "ActiveOrHistoricCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 13.4.9.7 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

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

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

### 13.4.9.8 NextValuationDateTime <NxtValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the next price valuation for the investment fund/fund class.

**NextValuationDateTime <NxtValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 13.4.9.9 PreviousValuationDateTime <PrvsValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the previous price valuation for the investment fund/fund class.

**PreviousValuationDateTime <PrvsValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 13.4.9.10 ValuationType <ValtnTp>

*Presence:* [1..1]

*Definition:* Specifies how the valuation is done, based on the schedule stated in the prospectus.

*Datatype:* "[ValuationTiming1Code](#)" on page 2521

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

### 13.4.9.11 ValuationFrequency <ValtnFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of the valuation.

*Datatype:* "EventFrequency1Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

### 13.4.9.12 OfficialValuationIndicator <OffclValtnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation is an official valuation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 13.4.9.13 SuspendedIndicator <SspdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation of the investment fund class is suspended.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

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

### 13.4.9.14 PriceDetails <PricDtls>

*Presence:* [0..\*]

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

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

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice15" on page 2106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2108
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2110
	PriceMethod <PricMtd>	[0..1]	CodeSet		2110
	ValueInInvestmentCurrency <ValInInvstmtCcy>	[1..*]	±		2110
	ValueInAlternativeCurrency <ValInAltrntvCcy>	[0..*]	±		2110
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2110
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2111
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2111
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2111
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2111
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2111
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2112
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2112
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2112
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2112
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2113
	ChargeDetails <ChrgDtls>	[0..*]			2113
{Or	Type <Tp>	[1..1]	CodeSet		2113
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2114
{Or	Amount <Amt>	[1..1]	Amount	C2	2114
Or}	Rate <Rate>	[1..1]	Rate		2115
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2115
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2115
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2115
{Or	Type <Tp>	[1..1]	CodeSet		2116
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2117
	Amount <Amt>	[0..7]	Amount	C3	2117
	Rate <Rate>	[0..1]	Rate		2117
	Country <Ctry>	[1..1]	CodeSet	C11	2117
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2118



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2118
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2118
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2119
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2119
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2119
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2119
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2120
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2120
{Or	Type <Tp>	[1..1]	CodeSet		2120
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2121
	Amount <Amt>	[0..7]	Amount	C3	2121
	Rate <Rate>	[0..1]	Rate		2122
	Country <Ctry>	[1..1]	CodeSet	C11	2122
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2122
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2122
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2123
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2123
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2123
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2123
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2124
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2124

#### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

#### 13.4.9.15 ValuationStatistics <ValtnSttstcs>

*Presence:* [0..\*]

*Definition:* Information related to the price variations of an investment fund class.

*Impacted by:* C11 "CurrencyPredefinedPeriodsRule", C12 "CurrencyPriceChangeRule", C13 "CurrencyUserDefinedPeriodsRule"

**ValuationStatistics <ValtnSttstcs>** contains the following elements (see "ValuationStatistics3" on page 1737 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1739
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1739
	Structured <Strd>	[1..1]	CodeSet		1740
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741
	PriceChange <PricChng>	[1..1]		C5, C6	1741
	Amount <Amt>	[0..1]	Amount	C3	1742
	AmountSign <AmtSgn>	[0..1]	Indicator		1742
	Rate <Rate>	[0..1]	Rate		1742
	Yield <Yld>	[0..1]	Rate		1742
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1742
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1743
	Amount <Amt>	[1..1]	Amount	C3	1743
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1744
	Amount <Amt>	[1..1]	Amount	C3	1744
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1744
	Amount <Amt>	[0..1]	Amount	C3	1745
	AmountSign <AmtSgn>	[0..1]	Indicator		1745
	Rate <Rate>	[0..1]	Rate		1745
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1745
	Amount <Amt>	[0..1]	Amount	C3	1746
	AmountSign <AmtSgn>	[0..1]	Indicator		1746
	Rate <Rate>	[0..1]	Rate		1746
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1746
	Amount <Amt>	[0..1]	Amount	C3	1747
	AmountSign <AmtSgn>	[0..1]	Indicator		1747
	Rate <Rate>	[0..1]	Rate		1747
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1748
	Period <Prd>	[1..1]	±		1748
	HighestPriceValue <HghstPricVal>	[0..1]			1748
	Amount <Amt>	[1..1]	Amount	C3	1748

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			1749
	Amount <Amt>	[1..1]	Amount	C3	1749
	PriceChange <PricChng>	[0..1]		C5, C6	1749
	Amount <Amt>	[0..1]	Amount	C3	1750
	AmountSign <AmtSgn>	[0..1]	Indicator		1750
	Rate <Rate>	[0..1]	Rate		1750
	Yield <Yld>	[0..1]	Rate		1750

#### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

#### 13.4.9.16 PerformanceDetails <PrfrmncDtls>

*Presence:* [0..1]

*Definition:* Factors that give indications about the performance of a fund.

*Impacted by:* C1 "AccumulationPeriodRule"

**PerformanceDetails <PrfrmncDtls>** contains the following elements (see "PerformanceFactors1" on page 1683 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1683
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1683
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1684
	NormalPerformance <NrmIPrfmnc>	[0..1]	Quantity		1684

**Constraints**

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

## 13.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

**Constraints**

- **ExtensionRule**

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

# 14      **reda.002.001.04**

## **PriceReportCancellationV04**

### 14.1    **MessageDefinition Functionality**

#### SCOPE

A report provider, for example, a transfer agent, fund accountant or market data provider, sends the PriceReportCancellation message to the report recipient, for example, a fund management company, transfer agent, market data provider, regulator or any other interested party to cancel previously sent prices.

#### USAGE

The PriceReportCancellation message is used to either:

- cancel an entire PriceReport that was previously sent (by quoting the business reference of the original price report in the PriceReportIdentification element), or,
- cancel one or more individual prices from a previously sent price report (by using the PriceDetailsToBeCancelled sequence).

Technically, it is possible to cancel all the prices individually by using the PriceDetailsToBeCancelled sequence, but this is not recommended.

The cancellation should not contain the cancellation of prices for more than one NAV date.

#### Outline

The PriceReportCancellationV04 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies a message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MessagePagination  
Pagination of the message.
- E. PriceReportIdentification  
Unique and unambiguous identifier for the price report, as assigned by the reporting party.
- F. CancellationIdentification  
Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.
- G. CancellationReason

Reason for the cancellation.

H. ExpectedPriceCorrectionDate

Date or date and time the price will be corrected.

I. CompletePriceCancellation

Indicates whether or not all the prices of the referenced price report are cancelled.

J. CancelledPriceValuationDetails

Details of prices to be cancelled.

K. Extension

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

## 14.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PricRptCxl>	[1..1]		C9, C10	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		180
	<b>PoolReference</b> <PoolRef>	[0..1]	±		181
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		181
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		181
	<b>PriceReportIdentification</b> <PricRptId>	[1..1]	Text		181
	<b>CancellationIdentification</b> <CxlId>	[1..1]	Text		182
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		182
	<b>ExpectedPriceCorrectionDate</b> <XpctdPricCrctnDt>	[0..1]	±		182
	<b>CompletePriceCancellation</b> <CmpltPricCxl>	[1..1]	Indicator		182
	<b>CancelledPriceValuationDetails</b> <CancPricValtnDtls>	[0..*]	±		182
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	183

## 14.3 Constraints

**C1 AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

**C2 ActiveCurrency**

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

**C3 ActiveOrHistoricCurrency**

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

**C4 AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**C5 AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**C6 AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**C7 AnyBIC**

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

**C8 CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

**C9 CompletePriceCancellation1Rule**

If CompletePriceCancellation is "false" or "0" (No), then one or more instances of CancelledPriceValuationDetails must be present.

On Condition

/CompletePriceCancellation is equal to value 'False'

Following Must be True

/CancelledPriceValuationDetails[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C10 CompletePriceCancellation2Rule**

If CompletePriceCancellation is "true" or "1" (Yes), then CancelledPriceValuationDetails must not be present.

On Condition

/CompletePriceCancellation is equal to value 'True'

Following Must be True

/CancelledPriceValuationDetails[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C11 Country**

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

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

**C14 CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

**C15 CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

**C16 ExtensionRule**

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

**C17 FinancialInstrumentIdentificationGuideline**

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

**C18 OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

**C19 PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails / DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

## 14.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 14.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see ["MessageIdentification1" on page 1361](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361



## 14.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 14.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference3"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 14.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 14.4.5 PriceReportIdentification <PricRptId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the price report, as assigned by the reporting party.

*Datatype:* ["Max35Text"](#) on page 2536

## 14.4.6 CancellationIdentification <CxIId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the cancellation of the previous price report, as assigned by the reporting party.

*Datatype:* "Max35Text" on page 2536

## 14.4.7 CancellationReason <CxIRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max350Text" on page 2536

## 14.4.8 ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>

*Presence:* [0..1]

*Definition:* Date or date and time the price will be corrected.

**ExpectedPriceCorrectionDate <XpctdPricCrrctnDt>** contains one of the following elements (see "DateAndDateTime1Choice" on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

## 14.4.9 CompletePriceCancellation <CmpltPricCxl>

*Presence:* [1..1]

*Definition:* Indicates whether or not all the prices of the referenced price report are cancelled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

## 14.4.10 CancelledPriceValuationDetails <CancPricValtnDtls>

*Presence:* [0..\*]

*Definition:* Details of prices to be cancelled.

**CancelledPriceValuationDetails <CancPricValtnDtls>** contains the following elements (see "PriceReport3" on page 2085 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2086
	Identification <Id>	[0..1]	Text		2087
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2087
	NAVDateTime <NAVDTm>	[1..1]	±		2088
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2088
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2089
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2089
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2089
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2090
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2090
	ValuationType <ValtnTp>	[1..1]	CodeSet		2090
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2090
	OfficialValuationIndicator <OfcclValtnInd>	[1..1]	Indicator		2091
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2091
	PriceDetails <PricDtls>	[0..*]	±	C8	2091
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2093
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2095

### 14.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

**Constraints**

- **ExtensionRule**

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

# 15      **reda.004.001.05**

## **FundReferenceDataReportV05**

### 15.1    **MessageDefinition Functionality**

#### Scope

The FundReferenceDataReport message is sent by a report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to the report recipient, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party, to provide the key reference data for financial instruments to facilitate trading. The message may also include reporting data concerning product governance, such as target market data, and a breakdown of the costs and fees.

#### Usage

A FundReferenceDataReport message should be prepared for each class of unit/share (for which an individual ISIN should have been allocated), in respect of its "home" market. Each time the fund data changes, the 'product provider' must provide the data to a product user, for example, the distributors, by sending a new funds reference data report. A single message may contain more than one report. When the FundReferenceDataReport message is sent to provide updated reference data, the message overwrites the previously sent data.

The FundReferenceDataReport message may be used in various models or environments:

- in a standalone environment, for example, initiated by the Report Provider (fund promoter, fund manager and / or reference data vendors) sent on a regular frequency, or when changes are needed.
- in a request / response environment, with the InvestmentFundReportRequest, for example, initiated by report users (data vendors, professional investors, regulators or investment fund distributors) in enabling the user to control the flow and updates of information.
- in a reference data vendor environment, for example, market infrastructure and reference data providers may collate and store all fund reference data information centrally for access via database or regular distribution information. A reference data vendor may assume the role of both report provider and report user.

The FundReferenceDataReport message may be used to provide data concerning product governance, such as target market data, and a breakdown of the costs and fees in the context of MiFID II, with respect to the European MiFID Template (EMT) version 3.

#### Outline

The FundReferenceDataReportV05 MessageDefinition is composed of 5 MessageBuildingBlocks:

##### A. MessageIdentification

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

##### B. PreviousReference

Reference to a linked message that was previously sent.

##### C. RelatedReference

Reference to a linked message that was previously received.

D. FundReferenceDataReportIdentification

Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

E. Report

Fund reference data.

## 15.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <FndRefDataRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		190
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		190
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		191
	<b>FundReferenceDataReportIdentification</b> <FndRefDataRptId>	[0..1]	Text		191
	<b>Report</b> <Rpt>	[1..*]		C3, C4	191
	<b>Identification</b> <Id>	[0..1]	Text		193
	<b>Version</b> <Vrsn>	[0..1]	±		193
	<b>AuthorisedProxy</b> <AuthrsdPrxy>	[0..1]	±		193
	<b>GeneralReferenceDate</b> <GnlRefDt>	[1..1]	Date		194
	<b>TargetMarketIndicator</b> <TrgtMktInd>	[0..1]	Indicator		194
	<b>ExAnteIndicator</b> <ExAnteInd>	[0..1]	Indicator		194
	<b>ExPostIndicator</b> <ExPstInd>	[0..1]	Indicator		194
	<b>SecurityIdentification</b> <SctyId>	[1..1]	±		195
	<b>FundParties</b> <FndPties>	[0..1]	±		196
	<b>MainFundOrderDesk</b> <MainFndOrdrDsk>	[0..1]	±		197
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		197
	<b>FundDetails</b> <FndDtls>	[0..1]	±		198
	<b>ValuationDealingCharacteristics</b> <ValtnDealgChrtcs>	[0..1]	±		200
	<b>InvestmentRestrictions</b> <InvstmtRstrctns>	[0..1]	±		200
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C7	201
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C8	203
	<b>SwitchProcessingCharacteristics</b> <SwchPrcgChrtcs>	[0..1]	±	C9	204
	<b>PlanCharacteristics</b> <PlanChrtcs>	[0..*]	±	C19	205
	<b>PaymentInstrument</b> <PmtInstrm>	[0..*]	±		206
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]	±		207
	<b>LocalMarketAnnex</b> <LclMktAnx>	[0..*]	±		207
	<b>TargetMarket</b> <TrgtMkt>	[0..1]	±		207
	<b>DistributionStrategy</b> <DstrbtnStrtgy>	[0..1]	±		209

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CostsAndCharges</b> <CostsAndChrgs>	[0..2]	±	C15, C18	209
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	210

## 15.3 Constraints

### C1 ActiveCurrency

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

### C2 AnyBIC

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

### C3 CostsAndCharges1Guideline

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

### C4 CostsAndCharges2Guideline

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

### C5 Country

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

### C6 CurrencyAmount

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

Note: The decimal separator is a dot.

### C7 DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

### C8 DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

### C9 DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.



**C10 DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

**C11 DescriptionPresenceRule**

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

**C12 DescriptionUsageRule**

Description must be used alone as the last resort.

**C13 ExAnteOrExPost1Guideline**

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.

**C14 ExAnteOrExPost2Guideline**

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

**C15 ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

**C16 ExtensionRule**

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

**C17 IBAN**

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

**C18 IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

**C19 InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

**C20 ISINGuideline**

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

**C21 ISINPresenceRule**

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

**C22 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

**C23 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

**C24 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

**C25 NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

**C26 OtherIdentificationPresenceRule**

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

**C27 SignAmount1Rule**

If Amount is not present, then Sign is not allowed.

**C28 SignAmount2Rule**

Sign must only be used to express a negative value for Amount.

**C29 TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

**C30 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

**C31 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

**C32 TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

## 15.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 15.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 15.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 15.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 15.4.4 FundReferenceDataReportIdentification <FndRefDataRptId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund reference data report, as assigned by the issuer of the report.

*Datatype:* ["Max35Text"](#) on page 2536

### 15.4.5 Report <Rpt>

*Presence:* [1..\*]

*Definition:* Fund reference data.

*Impacted by:* [C3 "CostsAndCharges1Guideline"](#), [C4 "CostsAndCharges2Guideline"](#)

Report <Rpt> contains the following FundReferenceDataReport3 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[0..1]	Text		193
	<b>Version</b> <Vrsn>	[0..1]	±		193
	<b>AuthorisedProxy</b> <AuthrsdPrxy>	[0..1]	±		193
	<b>GeneralReferenceDate</b> <GnlRefDt>	[1..1]	Date		194
	<b>TargetMarketIndicator</b> <TrgtMktInd>	[0..1]	Indicator		194
	<b>ExAnteIndicator</b> <ExAnteInd>	[0..1]	Indicator		194
	<b>ExPostIndicator</b> <ExPstInd>	[0..1]	Indicator		194
	<b>SecurityIdentification</b> <SctyId>	[1..1]	±		195
	<b>FundParties</b> <FndPties>	[0..1]	±		196
	<b>MainFundOrderDesk</b> <MainFndOrdrDsk>	[0..1]	±		197
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..1]	±		197
	<b>FundDetails</b> <FndDtls>	[0..1]	±		198
	<b>ValuationDealingCharacteristics</b> <ValtnDealgChrtcs>	[0..1]	±		200
	<b>InvestmentRestrictions</b> <InvstmtRstrctns>	[0..1]	±		200
	<b>SubscriptionProcessingCharacteristics</b> <SbcptPrcgChrtcs>	[0..1]	±	C7	201
	<b>RedemptionProcessingCharacteristics</b> <RedPrcgChrtcs>	[0..1]	±	C8	203
	<b>SwitchProcessingCharacteristics</b> <SwchPrcgChrtcs>	[0..1]	±	C9	204
	<b>PlanCharacteristics</b> <PlanChrtcs>	[0..*]	±	C19	205
	<b>PaymentInstrument</b> <PmtInstrm>	[0..*]	±		206
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..*]	±		207
	<b>LocalMarketAnnex</b> <LclMktAnx>	[0..*]	±		207
	<b>TargetMarket</b> <TrgtMkt>	[0..1]	±		207
	<b>DistributionStrategy</b> <DstrbtnStrtgy>	[0..1]	±		209
	<b>CostsAndCharges</b> <CostsAndChrgs>	[0..2]	±	C15, C18	209
	<b>Extension</b> <Xtnsn>	[0..*]	±	C16	210

**Constraints**

- **CostsAndCharges1Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Ante costs and charges.

- **CostsAndCharges2Guideline**

One repetition of CostsAndCharges may be present for the specification of Ex Post costs and charges

**15.4.5.1 Identification <Id>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 2536

**15.4.5.2 Version <Vrsn>**

*Presence:* [0..1]

*Definition:* Version Number. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00001 and is the version of the template for which the EMT data is provided.

**Version <Vrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

**15.4.5.3 AuthorisedProxy <AuthrsdPrxy>**

*Presence:* [0..1]

*Definition:* Party that reports the data on behalf of the issuer and the entry point e-mail address for contact. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) references 00002, 00003 and 00004.

**AuthorisedProxy <AuthrsdPrxy>** contains the following elements (see ["ContactAttributes6"](#) on page 1772 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1772
	PostalAddress <PstlAdr>	[0..1]	±		1772
	PhoneNumber <PhneNb>	[0..1]	Text		1772
	FaxNumber <FaxNb>	[0..1]	Text		1773
	EmailAddress <EmailAdr>	[0..1]	Text		1773
	URLAddress <URLAdr>	[0..1]	Text		1773
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1773
	LEI <LEI>	[0..1]	IdentifierSet		1773

#### 15.4.5.4 GeneralReferenceDate <GnlRefDt>

*Presence:* [1..1]

*Definition:* Date to which the data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00050.

*Datatype:* ["ISODate"](#) on page 2521

#### 15.4.5.5 TargetMarketIndicator <TrgtMktInd>

*Presence:* [0..1]

*Definition:* Indicates whether target market data is included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00006.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

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

#### 15.4.5.6 ExAnteIndicator <ExAnteInd>

*Presence:* [0..1]

*Definition:* Indicates whether ex ante costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00007.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

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

#### 15.4.5.7 ExPostIndicator <ExPstInd>

*Presence:* [0..1]

*Definition:* Indicates whether ex post costs and charges are included in the report. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00008.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

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

#### **15.4.5.8 SecurityIdentification <SctyId>**

*Presence:* [1..1]

*Definition:* Identification of the security.

**SecurityIdentification <Sctyld>** contains the following elements (see "SecurityIdentification37" on page 1178 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1179
	Name <Nm>	[1..1]	Text		1180
	ShortName <ShrtNm>	[0..1]	Text		1181
	ClassType <ClsTp>	[0..1]	Text		1181
	UmbrellaName <UmbrlNm>	[0..1]	Text		1181
	NewUmbrella <NewUmbrl>	[0..1]	Indicator		1181
	ClassificationType <ClsfctnTp>	[0..1]	±		1181
	BaseCurrency <BaseCcy>	[0..1]	CodeSet	C2	1181
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C11	1182
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C11	1182
	ProductType <PdctTp>	[0..1]			1182
{Or	Code <Cd>	[1..1]	CodeSet		1183
Or}	Proprietary <Prtry>	[1..1]	±		1183
	Issuer <Issr>	[0..1]	±		1183
	IssuerProductGovernanceProcess <IssrPdctGovncPrc>	[0..1]	±		1184
	ProductCategory <PdctCtgy>	[0..1]	Text		1184
	ProductCategoryGermany <PdctCtgyDE>	[0..1]	Text		1184
	NotionalOrUnitBased <NtnlOrUnitBased>	[0..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1185
	QuotationType <QtnTp>	[0..1]	±		1185
	LeveragedOrContingentLiability <LvrgdOrCntgntLbilty>	[0..1]	Indicator		1186
	NoRetrocessionIndicator <NoRtrcssnInd>	[0..1]	Indicator		1186
	ExPostCostCalculationBasis <ExPstCostClctnBsis>	[0..1]			1186
{Or	Code <Cd>	[1..1]	CodeSet		1186
Or}	Proprietary <Prtry>	[1..1]	±		1187
	AdditionalInformation <AddtlInf>	[0..*]	±		1187

#### 15.4.5.9 FundParties <FndPties>

Presence: [0..1]



*Definition:* Parties related to the investment fund.

**FundParties <FndPties>** contains the following elements (see "FundParties1" on page 1881 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guarnt>	[0..1]	±		1881
	Auditor <Audtr>	[0..1]	±		1882
	Trustee <Trstee>	[0..1]	±		1882
	OtherParty <OthrPty>	[0..*]	±		1883

#### 15.4.5.10 MainFundOrderDesk <MainFndOrdrDsk>

*Presence:* [0..1]

*Definition:* Principal entity appointed by the fund, to which orders should be submitted. Usually located in the country of domicile.

**MainFundOrderDesk <MainFndOrdrDsk>** contains the following elements (see "OrderDesk1" on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		1877
	ClosureDates <ClsrDts>	[0..*]	Date		1878
	AdditionalInformation <AddtlInf>	[0..*]	±		1878

#### 15.4.5.11 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..1]

*Definition:* Company that is responsible for the management and operation of the fund, for example, determines the investment strategy, appoints the service providers, and makes major decisions for the fund. It is usually responsible for the distribution and marketing of the fund. For self-managed funds, this will often be a separate promoter or sponsor of the fund.

**FundManagementCompany <FndMgmtCpny>** contains the following elements (see "ContactAttributes5" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

### 15.4.5.12 FundDetails <FndDtls>

*Presence:* [0..1]

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

**FundDetails <FndDtls>** contains the following elements (see "FinancialInstrument96" on page 1171 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScies>	[0..1]	Indicator		1172
	DematerialisedBearerSecurities <DmtrlSdBrScies>	[0..1]	Indicator		1173
	PhysicalRegisteredSecurities <PhysRegdScies>	[0..1]	Indicator		1173
	DematerialisedRegisteredSecurities <DmtrlSdRegdScies>	[0..1]	Indicator		1173
	DistributionPolicy <DstrbtpPlcy>	[0..1]	CodeSet		1173
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1173
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1174
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1174
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1175
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1175
	SwitchFee <SwitchFee>	[0..1]	Indicator		1175
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1175
	LaunchDate <LnchDt>	[0..1]	Date		1176
	FundEndDate <FndEndDt>	[0..1]	Date		1176
	TerminationDate <TermntnDt>	[0..1]	Date		1176
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1176
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1176
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1176
	MaturityDate <MtrtyDt>	[0..1]	Date		1176
	MaybeTerminatedEarly <MayBeTermntdEarly>	[0..1]	CodeSet		1177
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1177
	Equalisation <Equlstn>	[0..1]	Indicator		1177
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1177
	Authorised <Authrsd>	[0..1]	Indicator		1177
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1178
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1178
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1178
	AdditionalInformation <AddtlInf>	[0..*]	±		1178

### 15.4.5.13 ValuationDealingCharacteristics <ValtnDealgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to the instrument, that is, not to the market.

**ValuationDealingCharacteristics <ValtnDealgChrtcs>** contains the following elements (see "ValuationDealingProcessingCharacteristics3" on page 2083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2083
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2083
	ValuationTime <ValtnTm>	[0..1]	Time		2084
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2084
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2084
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2084
	PriceMethod <PricMtd>	[0..1]	CodeSet		2084
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C2	2084
	AdditionalInformation <AddtlInf>	[0..*]	±		2085

### 15.4.5.14 InvestmentRestrictions <InvstmtRstrctns>

*Presence:* [0..1]

*Definition:* Investment restrictions linked to the trading of the investment fund or an alternative/hedge fund.

**InvestmentRestrictions <InvstmtRstrctns>** contains the following elements (see "InvestmentRestrictions3" on page 1630 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C2, C10	1631
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		1632
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C2, C10	1632
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		1632
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C2, C10	1632
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		1633
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		1633
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		1633
	MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>	[0..1]	Amount	C2, C10	1633
	MinimumSwitchSubscriptionUnits <MinSwchSbcptUnits>	[0..1]	Quantity		1634
	MaximumSwitchRedemptionAmount <MaxSwchRedAmt>	[0..1]	Amount	C2, C10	1634
	MaximumSwitchRedemptionUnits <MaxSwchRedUnits>	[0..1]	Quantity		1634
	OtherSwitchRestrictions <OthrSwchRstrctns>	[0..1]	Text		1634
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C2, C10	1634
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		1635
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		1635
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		1635
	AdditionalInformation <AddtlInf>	[0..*]	±		1635

#### 15.4.5.15 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

*Impacted by:* C7 "DealingCutOffTimeFrameRule"

**SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics8" on page 1544 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1546
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1546
	ApplicationForm <ApplForm>	[1..1]	Indicator		1546
	SignatureType <SgntrTp>	[1..1]	CodeSet		1546
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1547
	ApplicationForm <ApplForm>	[1..1]	Indicator		1547
	SignatureType <SgntrTp>	[1..1]	CodeSet		1547
	AmountIndicator <AmtInd>	[0..1]	Indicator		1547
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1548
	Rounding <Rndg>	[0..1]	CodeSet		1548
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1548
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1548
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1549
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1549
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1549
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1550
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	1550
	LimitedPeriod <LtdPrd>	[0..1]	Text		1551
	SettlementCycle <SttlmCycl>	[0..1]			1551
{Or	TradePlus <TPlus>	[1..1]	Quantity		1551
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1551
	AdditionalInformation <AddtlInf>	[0..*]	±		1551

## Constraints

### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present  
 Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.16 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a redemption from the investment fund or alternative/hedge fund.

*Impacted by:* C8 "DealingCutOffTimeFrameRule"

**RedemptionProcessingCharacteristics <RedPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics7" on page 1603 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1604
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1605
	ApplicationForm <ApplForm>	[1..1]	Indicator		1605
	SignatureType <SgntrTp>	[1..1]	CodeSet		1605
	AmountIndicator <AmtInd>	[0..1]	Indicator		1606
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1606
	Rounding <Rndg>	[0..1]	CodeSet		1606
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1606
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1606
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1607
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1607
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1607
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1608
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1608
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C31	1608
	LimitedPeriod <LtdPrd>	[0..1]	Text		1609
	SettlementCycle <SttlmCycl>	[0..1]			1609
{Or	TradePlus <TPlus>	[1..1]	Quantity		1609
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1610
	AdditionalInformation <AddtlInf>	[0..*]	±		1610

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

### 15.4.5.17 SwitchProcessingCharacteristics <SwchPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

*Impacted by:* C9 "DealingCutOffTimeFrameRule"



**SwitchProcessingCharacteristics <SwchPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics6" on page 1617 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealGcCyAccptd>	[0..*]	CodeSet	C2	1618
	SwitchAuthorisation <SwchAuthstn>	[0..1]			1618
	ApplicationForm <ApplForm>	[1..1]	Indicator		1618
	SignatureType <SgntrTp>	[1..1]	CodeSet		1618
	AmountIndicator <AmtInd>	[0..1]	Indicator		1619
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1619
	Rounding <Rndg>	[0..1]	CodeSet		1619
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1619
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1620
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1620
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1620
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1621
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1621
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	1621
	LimitedPeriod <LtdPrd>	[0..1]	Text		1622
	SettlementCycle <SttlmCycl>	[0..1]			1622
{Or	TradePlus <TPlus>	[1..1]	Quantity		1622
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1623
	AdditionalInformation <AddtlInf>	[0..*]	±		1623

#### Constraints

##### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 15.4.5.18 PlanCharacteristics <PlanChrtcs>

Presence: [0..\*]

*Definition:* Characteristics of the investment plan.

*Impacted by:* C19 "InvestmentPlanRule"

**PlanCharacteristics <PlanChrtcs>** contains the following elements (see "InvestmentPlanCharacteristics1" on page 1614 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			1614
{Or	Code <Cd>	[1..1]	CodeSet		1615
Or}	Proprietary <Prtry>	[1..1]	±		1615
	Frequency <Frqcy>	[0..1]	±		1615
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1615
	Quantity <Qty>	[0..1]	±		1616
	PlanContinuation <PlanConttn>	[0..1]	Indicator		1616
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		1616
	AdditionalSubscriptionFunction <AddtlSbcptFctr>	[0..1]	Indicator		1616
	AdditionalInformation <AddtlInf>	[0..*]	±		1616

#### Constraints

- **InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

#### 15.4.5.19 PaymentInstrument <Pmtlnstrm>

*Presence:* [0..\*]

*Definition:* Specifies, for a specific type of transaction, how amounts are to be paid in or paid out.

**PaymentInstrument <Pmtlnstrm>** contains the following elements (see "PaymentInstrument16" on page 1982 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdrTp>	[1..1]			1982
{Or	Code <Cd>	[1..1]	CodeSet		1982
Or}	Proprietary <Prtry>	[1..1]	±		1983
	InstrumentType <InstrmTp>	[1..1]			1983
{Or	Code <Cd>	[1..1]	CodeSet		1983
Or}	Proprietary <Prtry>	[1..1]	±		1984
	AdditionalInformation <AddtlInf>	[0..*]	±		1984

### 15.4.5.20 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Account to be used for cash settlement.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "[CashAccount202](#)" on page 996 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C2	996
	PrimaryAccount <PmryAcct>	[0..1]			996
	AccountIdentification <AcctId>	[1..1]	±		997
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	997
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		997
	SecondaryAccount <ScndryAcct>	[0..1]			997
	AccountIdentification <AcctId>	[1..1]	±		998
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	998
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		998

### 15.4.5.21 LocalMarketAnnex <LclMktAnx>

*Presence:* [0..\*]

*Definition:* Processing characteristics specific to a local fund order desk.

**LocalMarketAnnex <LclMktAnx>** contains the following elements (see "[LocalMarketAnnex4](#)" on page 1539 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..*]	CodeSet	C11	1539
	LocalOrderDesk <LclOrdrDsk>	[1..1]	±		1539
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	1539
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C10	1541
	SwitchProcessingCharacteristics <SwchPrcgChrtcs>	[0..1]	±	C9	1542
	CashSettlementDetails <CshSttlmDtls>	[0..*]	±		1543
	AdditionalInformation <AddtlInf>	[0..*]	±		1544

### 15.4.5.22 TargetMarket <TrgtMkt>

*Presence:* [0..1]

*Definition:* Target market criteria.

**TargetMarket <TrgtMkt>** contains the following elements (see "TargetMarket2" on page 1552 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReferenceDate <RefDt>	[0..1]	Date		1554
	InvestorType <InvstrTp>	[0..1]			1554
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		1554
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		1555
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		1555
	Other <Othr>	[0..*]	±		1555
	KnowledgeAndOrExperience <KnlwdgAndOrExprnc>	[0..1]			1555
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		1556
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		1556
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		1557
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		1557
	Other <Othr>	[0..*]	±		1557
	AbilityToBearLosses <AbiltyToBearLosses>	[0..1]			1558
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		1559
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		1559
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		1559
	Other <Othr>	[0..*]	±		1559
	RiskTolerance <RskTlrnce>	[0..1]			1560
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		1560
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		1560
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		1560
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		1561
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		1561
	Other <Othr>	[0..*]	±		1561
	ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>	[0..1]			1561
	ReturnProfilePreservation <RtrPrflPrsvtn>	[0..1]	CodeSet		1562

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		1562
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		1562
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		1563
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		1563
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		1563
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		1564
	ESGPreferences <ESGPrfs>	[0..1]	CodeSet		1564
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		1564
	Other <Othr>	[0..*]	±		1565
	Other <Othr>	[0..*]	±		1565

#### 15.4.5.23 DistributionStrategy <DstrbtnStrtgy>

*Presence:* [0..1]

*Definition:* Distribution strategy criteria.

**DistributionStrategy <DstrbtnStrtgy>** contains the following elements (see "[DistributionStrategy1](#)" on page 1611 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		1612
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsvcs>	[0..1]	±		1612
	InvestmentAdvice <InvstmtAdv<	[0..1]	±		1612
	PortfolioManagement <PrflMgmt>	[0..1]	±		1613
	Other <Othr>	[0..1]	±		1613

#### 15.4.5.24 CostsAndCharges <CostsAndChrgs>

*Presence:* [0..2]

*Definition:* Costs and charges associated with the distribution of selling of the financial instrument. These may be one-off or recurring. These may be ex ante (intended) or post ante (actual).

*Impacted by:* [C15 "ExAnteReferenceDateGuideline"](#), [C18 "IndividualCostAndCharge1Guideline"](#)

**CostsAndCharges <CostsAndChrgs>** contains the following elements (see "[CostsAndCharges2](#)" on page 1086 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1087
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C13, C14, C27, C28	1087
	CostType <CostTp>	[1..1]			1088
{Or	Code <Cd>	[1..1]	CodeSet		1088
Or}	Proprietary <Prtry>	[1..1]	±		1093
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1093
	Amount <Amt>	[0..1]	Amount	C2	1094
	Sign <Sgn>	[0..1]	Indicator		1094
	Rate <Rate>	[0..1]	Rate		1094
	ReferencePeriod <RefPrd>	[0..1]			1094
	StartDate <StartDt>	[1..1]	Date		1094
	EndDate <EndDt>	[1..1]	Date		1095
	AdditionalInformation <AddtlInf>	[0..1]	±		1095
	AdditionalInformation <AddtlInf>	[0..1]	±		1095

#### Constraints

- **ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

- **IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

#### 15.4.5.25 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C16 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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

# 16      **reda.005.001.03**

## **InvestmentFundReportRequestV03**

### **16.1    MessageDefinition Functionality**

#### Scope

The InvestmentFundReportRequest message is sent by a report user, for example, a professional investor, investment fund distributor, market data provider, regulator or other interested party to the report provider, for example, a fund promoter, fund management company, transfer agent, or market data provider to request a report.

The Investment Fund Report Request message can be used to request one or many fund reference data report messages.

#### Usage

If the InvestmentFundReportRequest message is used to request a fund reference data report then the request can specify the financial instrument for which the report is requested. Other appropriate parameters can also be included. It is also possible to indicate that the request is an open request, that is, there is no specific criteria for the report requested. For example, a request for a fund reference data report that is specified as "no criteria" means that the request is a request for a reference data report messages for all funds.

#### Outline

The InvestmentFundReportRequestV03 MessageDefinition is composed of 4 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PreviousReference  
Reference to a linked message that was previously sent.
- C. RelatedReference  
Reference to a linked message that was previously received.
- D. ReportRequest  
Parameters for which the report is requested.



## 16.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <InvstmtFndRptReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		214
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		214
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		214
	<b>ReportRequest</b> <RptReq>	[1..*]		C8	215
{Or	<b>NoCriteria</b> <NoCrit>	[1..1]	CodeSet		215
Or}	<b>Parameters</b> <Params>	[1..1]			216
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		216
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		216
	<b>DateFrom</b> <DtFr>	[0..1]	Date		217
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	217
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	217

## 16.3 Constraints

### C1 AnyBIC

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

### C2 Country

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

### C3 DescriptionPresenceRule

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

### C4 DescriptionUsageRule

Description must be used alone as the last resort.

### C5 ISINGuideline

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

### C6 ISINPresenceRule

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

#### C7 OtherIdentificationPresenceRule

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

#### C8 ReportParameterRule1

If Parameters is present, at least one element in the list (Parameters/  
FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom)  
must be present. More than one element in the list (Parameters/FundManagementCompany,  
Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be present.

## 16.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 16.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 16.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 16.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 16.4.4 ReportRequest <RptReq>

*Presence:* [1..\*]

*Definition:* Parameters for which the report is requested.

*Impacted by:* C8 "ReportParameterRule1"

**ReportRequest <RptReq>** contains one of the following **FundParameters4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoCriteria</b> <NoCrit>	[1..1]	CodeSet		215
Or}	<b>Parameters</b> <Params>	[1..1]			216
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		216
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		216
	<b>DateFrom</b> <DtFr>	[0..1]	Date		217
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	217
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	217

### Constraints

- **ReportParameterRule1**

If Parameters is present, at least one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) must be present. More than one element in the list (Parameters/FundManagementCompany, Parameters/FinancialInstrumentDetails, Parameters/DateFrom) may be present.

On Condition

/Parameters is present

Following Must be True

/Parameters/FinancialInstrumentDetails[\*] Must be present

Or /Parameters/FundManagementCompany[\*] Must be present

Or /Parameters/DateFrom Must be present

### 16.4.4.1 NoCriteria <NoCrit>

*Presence:* [1..1]

*Definition:* Specifies that there is no criteria for the report. The request is a request for all reports, rather than reports attributed to a specific fund manager, date or financial instrument.

*Datatype:* "NoCriteria1Code" on page 2468

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

#### 16.4.4.2 Parameters <Params>

*Presence:* [1..1]

*Definition:* Report parameters.

**Parameters <Params>** contains the following **FundParameters5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..*]	±		216
	<b>FundManagementCompany</b> <FndMgmtCpny>	[0..*]	±		216
	<b>DateFrom</b> <DtFr>	[0..1]	Date		217
	<b>CountryOfDomicile</b> <CtryOfDmcl>	[0..1]	CodeSet	C2	217
	<b>RegisteredDistributionCountry</b> <RegdDstrbtnCtry>	[0..*]	CodeSet	C2	217

##### 16.4.4.2.1 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Financial instrument for which the report is requested.

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument71" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1289
	ShortName <ShrtNm>	[0..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1290
	ClassType <ClsTp>	[0..1]	Text		1290
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1290
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1291
	ProductGroup <PdctGrp>	[0..1]	Text		1291

##### 16.4.4.2.2 FundManagementCompany <FndMgmtCpny>

*Presence:* [0..\*]

*Definition:* Fund management company for which the report is requested.

**FundManagementCompany <FndMgmtCpny>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 16.4.4.2.3 DateFrom <DtFr>

*Presence:* [0..1]

*Definition:* Specifies the date on or after which the information required will have been last updated. Only the most recent versions of the data is required.

*Datatype:* "ISODate" on page 2521

#### 16.4.4.2.4 CountryOfDomicile <CtryOfDmcl>

*Presence:* [0..1]

*Definition:* Country where the fund has legal domicile.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 2431

##### Constraints

- **Country**

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

#### 16.4.4.2.5 RegisteredDistributionCountry <RegdDstrbtnCtry>

*Presence:* [0..\*]

*Definition:* Country where the fund is registered for distribution.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 2431

##### Constraints

- **Country**

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

# 17      **semt.001.001.03**

## **SecuritiesMessageRejectionV03**

### 17.1    **MessageDefinition Functionality**

#### Scope

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

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

#### Usage

The SecuritiesMessageRejection message is used for the following reasons:

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

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

The SecuritiesMessageRejection message must not be used to reject an instruction message that cannot be processed for business reasons, for example, if information is missing in an instruction message or because securities are not available for settlement.

#### Outline

The SecuritiesMessageRejectionV03 MessageDefinition is composed of 3 MessageBuildingBlocks:

##### A. MessageIdentification

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

##### B. RelatedReference

Reference to a linked message that was previously received.

##### C. Reason

Reason to reject the message.

## 17.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SctiesMsgRjctn>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		219
	<b>RelatedReference</b> <RltdRef>	[1..1]	±		219
	<b>Reason</b> <Rsn>	[1..1]			220
	<b>Reason</b> <Rsn>	[1..1]	CodeSet		220
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	Text		220
	<b>LinkedMessage</b> <LkdMsg>	[0..1]	±		220

## 17.3 Constraints

### C1 AnyBIC

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

### C2 Country

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

## 17.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 17.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 17.4.2 RelatedReference <RltdRef>

*Presence:* [1..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

## 17.4.3 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

**Reason <Rsn>** contains the following **RejectionReason23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason</b> <Rsn>	[1..1]	CodeSet		220
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	Text		220
	<b>LinkedMessage</b> <LkdMsg>	[0..1]	±		220

### 17.4.3.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

*Datatype:* "MessageRejectedReason1Code" on page 2466

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

### 17.4.3.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection reason.

*Datatype:* "Max140Text" on page 2535

### 17.4.3.3 LinkedMessage <LkdMsg>

*Presence:* [0..1]

*Definition:* Identification of the invalid or unrecognised reference.



**LinkedMessage <LkdMsg>** contains one of the following elements (see "[LinkedMessage1Choice](#)" on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		1681
Or	OtherReference <OthrRef>	[1..1]	±		1682
Or}	RelatedReference <RltdRef>	[1..1]	±		1682

# 18      **semt.002.001.02**

## **CustodyStatementOfHoldingsV02**

### 18.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the CustodyStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, the quantity and identification of the financial instruments that the account servicer holds for the account owner. The message can also include availability and the location of holdings to facilitate trading and minimise settlement issues.

The message reports all information per financial instrument, ie, when a financial instrument is held at multiple places of safekeeping, the total holdings for all locations can be provided.

#### Usage

The CustodyStatementOfHoldings message is used to provide detailed quantity and availability information for financial instrument holdings of a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can be also be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

This message can reflect all outstanding holding information or may only contain changes since the previously sent statement.

The CustodyStatementOfHoldings message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, this message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

#### Outline

The CustodyStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

##### A. MessageIdentification

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

##### B. PreviousReference

Reference to a linked message that was previously sent.

##### C. RelatedReference

Reference to a linked message that was previously received.

##### D. MessagePagination

Pagination of the message.

E. StatementGeneralDetails

General information related to the custody statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

## 18.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStmntOfHldgsV02>	[1..1]		C9	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		226
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		226
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		226
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		227
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			227
	<b>Reference</b> <Ref>	[1..1]	Text		227
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		228
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		228
	<b>Frequency</b> <Frqcy>	[1..1]	±		228
	<b>UpdateType</b> <UpdTp>	[1..1]	±		228
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		229
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		229
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		229
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		229
	<b>BalanceForAccount</b> <BalForAcct>	[0..*]	±	C1, C8, C5	230
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]	±		232
	<b>TotalValues</b> <TtlVals>	[0..1]	±		232
	<b>Extension</b> <Xtnsn>	[0..*]	±	C13	232

## 18.3 Constraints

### C1 AccruedInterestAmountSignRule

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 ActiveCurrency

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

**C4 ActiveOrHistoricCurrency**

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

**C5 AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

**C6 AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

**C7 AnyBIC**

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

**C8 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C9 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

*This constraint is defined at the MessageDefinition level.*

**C10 Country**

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

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 ExtensionRule**

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

**C14 FinancialInstrumentIdentificationGuideline**

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

**C15 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C16 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C17 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 18.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 18.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 18.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

### 18.4.3 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 18.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 18.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the custody statement of holdings.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		227
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		228
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		228
	<b>Frequency</b> <Frqcy>	[1..1]	±		228
	<b>UpdateType</b> <UpdTp>	[1..1]	±		228
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		229
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		229
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		229

### 18.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* ["Max35Text"](#) on page 2536

### 18.4.5.2 StatementDateTime <StmtDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 18.4.5.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 18.4.5.4 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "FrequencyCodeAndDSSCode1Choice" on page 2128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2128
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2129

### 18.4.5.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "StatementUpdateTypeCodeAndDSSCodeChoice" on page 2185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtUpdTpAsCd>	[1..1]	CodeSet		2185
Or}	StatementUpdateTypeAsDSS <StmtUpdTpAsDSS>	[1..1]	±		2186



### 18.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 18.4.5.7 StatementBasis <StmntBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmntBsis>** contains one of the following elements (see "StatementBasisCodeAndDSSCodeChoice" on page 2184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2185
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2185

### 18.4.5.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "Max5NumericText" on page 2537

## 18.4.6 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* The safekeeping or investment account.

**AccountDetails <AcctDtls>** contains the following elements (see "SafekeepingAccount2" on page 1367 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1367
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1368
	Name <Nm>	[0..1]	Text		1368
	Designation <Dsgnt>	[0..1]	Text		1368
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1368
	AccountOwner <AcctOwnr>	[0..1]	±		1369
	AccountServicer <AcctSvcr>	[0..1]	±		1369

## 18.4.7      **BalanceForAccount <BalForAcct>**

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C8 "BalanceAtSafekeepingPlaceRule", C5 "AggregateQuantityGuideline"

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1033 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1035
	AvailableQuantity <AvlblQty>	[0..1]	±		1035
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1035
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1036
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1036
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1037
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1037
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1037
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1038
	PriceDetails <PricDtls>	[0..*]	±	C15	1038
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1039
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1039
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1040
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1040
	AggregateQuantity <AggtQty>	[1..1]	±		1041
	AvailableQuantity <AvlblQty>	[0..1]	±		1042
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1042
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1042
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1042
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1043
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1044
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1044
	PriceDetails <PricDtls>	[0..*]	±	C15	1044
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1045
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1045

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1046

#### Constraints

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

## 18.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification5](#)" on page 1000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1001
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1001
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1001
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1001

## 18.4.9 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1026
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1026

## 18.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C13 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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

# 19      **semt.003.001.02**

## **AccountingStatementOfHoldingsV02**

### 19.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the AccountingStatementOfHoldings message to the account owner, for example, a fund manager or an account owner's designated agent to provide detailed holdings of the portfolio at a specified moment in time.

The message provides, at a moment in time, valuations of the portfolio together with details of each financial instrument holding.

The message can be sent either audited or un-audited and may be provided on a trade date or settlement date basis.

#### Usage

The AccountingStatementOfHoldings message is used to provide valuation detail for each financial instrument held in a portfolio. The message should be sent at a frequency agreed bi-laterally between the account servicer and the account owner.

This message can only be used to list the holdings of a single (master) account. However, it is possible to break down these holdings into one or several sub-accounts. Therefore, the message can be used to either specify holdings at

- the main account level, or,
- the sub-account level.

This message can be used to report where the financial instruments are safe-kept, physically or notionally. If a security is held in more than one safekeeping place, this can also be indicated.

The AccountingStatementOfHoldings message should not be used for trading purposes.

#### Outline

The AccountingStatementOfHoldingsV02 MessageDefinition is composed of 10 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference  
Reference to a linked message that was previously sent.
- C. RelatedReference  
Reference to a linked message that was previously received.
- D. MessagePagination  
Pagination of the message.

E. StatementGeneralDetails

General information related to the accounting statement of holdings.

F. AccountDetails

The safekeeping or investment account.

G. BalanceForAccount

Net position of a segregated holding, in a single security, within the overall position held in a securities account.

H. SubAccountDetails

The sub-account of the safekeeping or investment account.

I. TotalValues

Value of total holdings reported.

J. Extension

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

## 19.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsV02>	[1..1]		C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		238
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		238
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		238
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		239
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			239
	<b>Reference</b> <Ref>	[1..1]	Text		239
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		239
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		240
	<b>Frequency</b> <Frqcy>	[1..1]	±		240
	<b>UpdateType</b> <UpdTp>	[1..1]	±		240
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		240
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		241
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		241
	<b>AuditedIndicator</b> <AudtdInd>	[1..1]	Indicator		241
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		241
	<b>BalanceForAccount</b> <BalForAcct>	[0..*]	±	C1, C6	242
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]	±		243
	<b>TotalValues</b> <TtlVals>	[0..1]	±		243
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	243

## 19.3 Constraints

### C1 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with



the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C4 ActiveOrHistoricCurrency**

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

**C5 AnyBIC**

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

**C6 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C7 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

*This constraint is defined at the MessageDefinition level.*

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExtensionRule**

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

**C12 FinancialInstrumentIdentificationGuideline**

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

**C13 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C14 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

## C15 ValueRule

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

# 19.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 19.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 19.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 19.4.3 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 19.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 19.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the accounting statement of holdings.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		239
	<b>StatementDateTime</b> <StmntDtTm>	[1..1]	±		239
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		240
	<b>Frequency</b> <Frqcy>	[1..1]	±		240
	<b>UpdateType</b> <UpdTp>	[1..1]	±		240
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		240
	<b>StatementBasis</b> <StmntBsis>	[1..1]	±		241
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		241
	<b>AuditedIndicator</b> <AudtdInd>	[1..1]	Indicator		241

### 19.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2536

### 19.4.5.2 StatementDateTime <StmntDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmtdtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 19.4.5.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 19.4.5.4 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "FrequencyCodeAndDSSCode1Choice" on page 2128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2128
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2129

### 19.4.5.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "StatementUpdateTypeCodeAndDSSCodeChoice" on page 2185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmtdUpdTpAsCd>	[1..1]	CodeSet		2185
Or}	StatementUpdateTypeAsDSS <StmtdUpdTpAsDSS>	[1..1]	±		2186

### 19.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

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

#### 19.4.5.7 StatementBasis <StmtBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmtBsis>** contains one of the following elements (see ["StatementBasisCodeAndDSSCodeChoice" on page 2184](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2185
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2185

#### 19.4.5.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* ["Max5NumericText" on page 2537](#)

#### 19.4.5.9 AuditedIndicator <AudtdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the statement is audited.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

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

### 19.4.6 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* The safekeeping or investment account.

**AccountDetails <AcctDtls>** contains the following elements (see ["SafekeepingAccount2"](#) on page 1367 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1367
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1368
	Name <Nm>	[0..1]	Text		1368
	Designation <Dsgnt>	[0..1]	Text		1368
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1368
	AccountOwner <AcctOwnr>	[0..1]	±		1369
	AccountServicer <AcctSvcr>	[0..1]	±		1369

## 19.4.7 BalanceForAccount <BalForAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C6 "BalanceAtSafekeepingPlaceRule"

**BalanceForAccount <BalForAcct>** contains the following elements (see ["AggregateBalanceInformation3"](#) on page 1027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1028
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1028
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1028
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1028
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1029
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1029
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1029
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1030
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1030
	PriceDetails <PricDtls>	[1..*]	±	C15	1031
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1032
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1032
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1032
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1033

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

## 19.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification3](#)" on page 998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		999
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		999
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		999
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	999

## 19.4.9 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1026
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1026

## 19.4.10 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C11 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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



## 20      **semt.004.001.02** **CustodyStatementOfHoldingsCancellationV02**

### 20.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent, sends the CustodyStatementOfHoldingsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent CustodyStatementOfHoldings message.

#### Usage

The CustodyStatementOfHoldingsCancellation message is used to cancel a previously sent CustodyStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

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

#### Outline

The CustodyStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

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

E. StatementToBeCancelled

The Custody Statement of Holdings message to cancel.

## 20.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CtdyStmntOfHldgsCxIV02>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		247
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		248
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		248
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		248
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]	±	C9	249

## 20.3 Constraints

### C1 AccruedInterestAmountSignRule

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 ActiveCurrency

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

### C4 ActiveOrHistoricCurrency

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

### C5 AggregateQuantityGuideline

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

### C6 AggregateQuantityGuideline

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

### C7 AnyBIC

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

**C8 BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**C9 BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**C10 Country**

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

**C11 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C12 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C13 ExtensionRule**

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

**C14 FinancialInstrumentIdentificationGuideline**

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

**C15 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C16 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C17 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 20.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 20.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 20.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference2" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 20.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference2" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 20.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

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

**MessagePagination <MsgPgntn>** contains the following elements (see "Pagination" on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 20.4.5 StatementToBeCancelled <StmtToBeCanc>

*Presence:* [0..1]

*Definition:* The Custody Statement of Holdings message to cancel.

*Impacted by:* C9 "BalanceForAccountOrSubAccountDetailsRule"

**StatementToBeCancelled <StmtToBeCanc>** contains the following elements (see "CustodyStatementOfHoldings2" on page 1019 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmtGnlDtls>	[0..1]			1020
	Reference <Ref>	[1..1]	Text		1021
	StatementDateTime <StmtDtTm>	[1..1]	±		1021
	CreationDateTime <CreDtTm>	[0..1]	±		1021
	Frequency <Frqcy>	[1..1]	±		1021
	UpdateType <UpdTp>	[1..1]	±		1022
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1022
	StatementBasis <StmtBsis>	[1..1]	±		1022
	ReportNumber <RptNb>	[0..1]	Text		1022
	AccountDetails <AcctDtls>	[0..1]	±		1023
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1023
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1025
	TotalValues <TtlVals>	[0..1]	±		1025
	Extension <Xtnsn>	[0..*]	±	C16	1025

### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

# 21      **sem1.005.001.02**

## **AccountingStatementOfHoldingsCancellationV02**

### **21.1    MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent, sends the AccountingStatementOfHoldingsCancellation message to the account owner, for example, a fund manager or an account owner's designated agent, to notify the cancellation of a previously sent AccountingStatementOfHoldings message.

#### Usage

The AccountingStatementOfHoldingsCancellation message is used to cancel a previously sent AccountingStatementOfHoldings message. This message must contain the reference of the message to be cancelled.

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

#### Outline

The AccountingStatementOfHoldingsCancellationV02 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementToBeCancelled

The Accounting Statement of Holdings message to cancel.

## 21.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctgStmntOfHldgsCxlV02>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		252
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		253
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		253
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		253
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]	±	C7	253

## 21.3 Constraints

### C1 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C2 AccruedInterestAmountSignRule

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

### C3 ActiveCurrency

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

### C4 ActiveOrHistoricCurrency

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

### C5 AnyBIC

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

### C6 BalanceAtSafekeepingPlaceRule

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

### C7 BalanceForAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 ExtensionRule**

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

**C12 FinancialInstrumentIdentificationGuideline**

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

**C13 Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

**C14 StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

**C15 ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

## 21.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 21.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361



## 21.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 21.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 21.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 21.4.5 StatementToBeCancelled <StmntToBeCanc>

*Presence:* [0..1]

*Definition:* The Accounting Statement of Holdings message to cancel.

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

**StatementToBeCancelled <StmtToBeCanc>** contains the following elements (see "AccountingStatementOfHoldings2" on page 1014 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1015
	Reference <Ref>	[1..1]	Text		1015
	StatementDateTime <StmntDtTm>	[1..1]	±		1015
	CreationDateTime <CreDtTm>	[0..1]	±		1015
	Frequency <Frqcy>	[1..1]	±		1016
	UpdateType <UpdTp>	[1..1]	±		1016
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1016
	StatementBasis <StmntBsis>	[1..1]	±		1016
	ReportNumber <RptNb>	[0..1]	Text		1017
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1017
	AccountDetails <AcctDtls>	[0..1]	±		1017
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1017
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1018
	TotalValues <TtlVals>	[0..1]	±		1019
	Extension <Xtnsn>	[0..*]	±	C16	1019

#### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

## 22      **semt.006.001.03** **StatementOfInvestmentFundTransactionsV03**

### 22.1    **MessageDefinition Functionality**

#### Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactions message to the account owner, for example, an investment manager or its authorised representative to provide detailed transactions (increases and decreases) of holdings which occurred during a specified period of time.

#### Usage

The StatementOfInvestmentFundTransactions message is used to list the holdings transactions of a single (master) account or several sub-accounts.

This message should be used at a frequency agreed bi-laterally between the account servicer and the account owner.

This message must not be used in place of confirmation messages.

#### Outline

The StatementOfInvestmentFundTransactionsV03 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies a message from a business application standpoint.
- B. PreviousReference  
Reference to a linked message that was previously sent.
- C. RelatedReference  
Reference to a linked message that was previously received.
- D. MessagePagination  
Pagination of the message.
- E. StatementGeneralDetails  
General information related to the investment fund statement of transactions.
- F. InvestmentAccountDetails  
Information related to an investment account.
- G. TransactionOnAccount  
Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.
- H. SubAccountDetails  
The sub-account of the safekeeping or investment account.

I. Extension

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

## 22.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTx>	[1..1]		C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		261
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		261
	<b>RelatedReference</b> <RltdRef>	[0..*]	±		261
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		262
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]			262
	<b>Reference</b> <Ref>	[1..1]	Text		262
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		263
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		263
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		263
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		264
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		264
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		264
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]			264
	<b>Identification</b> <Id>	[1..1]	±		265
	<b>Name</b> <Nm>	[0..1]	Text		265
	<b>Designation</b> <Dsgnt>	[0..1]	Text		265
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			265
	<b>Identification</b> <Id>	[1..1]	±		266
	<b>Account</b> <Acct>	[0..1]	±		266
	<b>Role</b> <Role>	[0..1]	±		266
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		266
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			267
	<b>Identification</b> <Id>	[1..1]	±		269
	<b>Name</b> <Nm>	[0..1]	Text		269
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		270
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		270
	<b>ClassType</b> <ClsTp>	[0..1]	Text		270
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		270
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	270

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			271
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		272
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		272
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		272
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		272
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		273
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		273
	<b>DealReference</b> <DealRef>	[0..1]	Text		273
	<b>LegIdentification</b> <LegId>	[0..1]	Text		273
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		273
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		273
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		273
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		273
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		274
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		274
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		274
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	274
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		275
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		275
	<b>CumDividendIndicator</b> <CumDvddlInd>	[1..1]	Indicator		275
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		275
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		276
	<b>BalanceByPage</b> <BalByPg>	[0..1]			276
	<b>OpeningBalance</b> <OpngBal>	[0..1]			276
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		276
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		277
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			277
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		277
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		277
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]		C8	278
	<b>Identification</b> <Id>	[1..1]	±		280

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		280
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			281
	<b>Identification</b> <Id>	[1..1]	±		283
	<b>Name</b> <Nm>	[0..1]	Text		283
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		284
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		284
	<b>ClassType</b> <ClssTp>	[0..1]	Text		284
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		284
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	284
	<b>EventType</b> <EvtTp>	[1..1]			285
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		286
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		286
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		286
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		286
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		287
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		287
	<b>DealReference</b> <DealRef>	[0..1]	Text		287
	<b>LegIdentification</b> <LegId>	[0..1]	Text		287
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		287
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		287
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		287
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		287
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		288
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		288
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		288
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	288
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		289
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		289
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		289
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		289
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		290

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BalanceByPage</b> <BalByPg>	[0..1]			290
	<b>OpeningBalance</b> <OpngBal>	[0..1]			290
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		290
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		291
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			291
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		291
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		291
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	292

## 22.3 Constraints

### C1 ActiveCurrency

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

### C2 AnyBIC

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

### C3 Country

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

### C4 CurrencyAmount

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

Note: The decimal separator is a dot.

### C5 ExtensionRule

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

### C6 StreetNameAndOrPostOfficeBoxRule

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### C7 TransactionOnAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.



*This constraint is defined at the MessageDefinition level.*

**C8 TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

**C9 TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

**C10 TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

## 22.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 22.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 22.4.2 PreviousReference <PrvsRef>

*Presence:* [0..\*]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

### 22.4.3 RelatedReference <RltdRef>

*Presence:* [0..\*]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 22.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 22.4.5 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [1..1]

*Definition:* General information related to the investment fund statement of transactions.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		262
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		263
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		263
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		263
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		264
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		264
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		264

### 22.4.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* ["Max35Text"](#) on page 2536

### 22.4.5.2 StatementPeriod <StmtPrd>

*Presence:* [1..1]

*Definition:* Period on which the statement is reporting.

**StatementPeriod <StmtPrd>** contains the following elements (see ["DatePeriodDetails"](#) on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1144
	ToDate <ToDt>	[1..1]	Date		1144

### 22.4.5.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Creation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 22.4.5.4 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the statement.

*Datatype:* ["EventFrequency1Code"](#) on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.

CodeName	Name	Definition
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 22.4.5.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Specifies if the statement is complete or only contains changes.

*Datatype:* "StatementUpdateTypeCode" on page 2498

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 22.4.5.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 22.4.5.7 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "Max5NumericText" on page 2537

### 22.4.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Information related to an investment account.

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **InvestmentAccount43** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		265
	<b>Name &lt;Nm&gt;</b>	[0..1]	Text		265
	<b>Designation &lt;Dsgnt&gt;</b>	[0..1]	Text		265
	<b>IntermediaryInformation &lt;IntrmyInf&gt;</b>	[0..10]			265
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		266
	<b>Account &lt;Acct&gt;</b>	[0..1]	±		266
	<b>Role &lt;Role&gt;</b>	[0..1]	±		266
	<b>AccountServicer &lt;AcctSvcr&gt;</b>	[0..1]	±		266

#### 22.4.6.1 Identification <Id>

*Presence:* [1..1]

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

**Identification <Id>** contains the following elements (see ["AccountIdentification1"](#) on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 22.4.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* ["Max35Text"](#) on page 2536

#### 22.4.6.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* ["Max35Text"](#) on page 2536

#### 22.4.6.4 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following **Intermediary27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		266
	<b>Account</b> <Acct>	[0..1]	±		266
	<b>Role</b> <Role>	[0..1]	±		266

#### 22.4.6.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 22.4.6.4.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "[Account7](#)" on page 994 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		994
	AccountServicer <AcctSvcr>	[0..1]	±		994

#### 22.4.6.4.3 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "[Role4Choice](#)" on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1907
Or}	Proprietary <Prtry>	[1..1]	±		1908

#### 22.4.6.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

## 22.4.7 TransactionOnAccount <TxOnAcct>

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnAccount <TxOnAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		269
	<b>Name</b> <Nm>	[0..1]	Text		269
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		270
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		270
	<b>ClassType</b> <ClsTp>	[0..1]	Text		270
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		270
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	270
	<b>EventType</b> <EvtTp>	[1..1]			271
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		272
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		272
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		272
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		272
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		273
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		273
	<b>DealReference</b> <DealRef>	[0..1]	Text		273
	<b>LegIdentification</b> <LegId>	[0..1]	Text		273
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		273
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		273
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		273
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		273
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		274
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		274
	<b>Reversal</b> <Rvs/>	[0..1]	CodeSet		274
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	274
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		275
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		275
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		275
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		275
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		276
	<b>BalanceByPage</b> <BalByPg>	[0..1]			276



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			276
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		276
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		277
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			277
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		277
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		277

### 22.4.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

### 22.4.7.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2536

### 22.4.7.3 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

### 22.4.7.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

### 22.4.7.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

### 22.4.7.6 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 22.4.7.7 TransactionDetails <TxDtls>

*Presence:* [1..\*]

*Definition:* Process of buying, selling, switching or transferring fund units.

*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			271
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		272
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		272
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		272
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		272
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		273
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		273
	<b>DealReference</b> <DealRef>	[0..1]	Text		273
	<b>LegIdentification</b> <LegId>	[0..1]	Text		273
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		273
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		273
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		273
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		273
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		274
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		274
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		274
	<b>SettlementAmount</b> <StlImAmt>	[0..1]	Amount	C1, C4	274
	<b>SettlementDate</b> <StlImDt>	[0..1]	Date		275
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		275
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		275
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		275
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		276

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 22.4.7.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		272
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		272

#### 22.4.7.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2324
Or}	Proprietary <Prtry>	[1..1]	±		2325

#### 22.4.7.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2327 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2327
Or}	Proprietary <Prtry>	[1..1]	±		2329

#### 22.4.7.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2512

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 22.4.7.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.4 OrderReference <OrdrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### **22.4.7.7.9 OrderDateTime <OrdrDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### **22.4.7.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### **22.4.7.7.11 RegisteredTransactionIndicator <RegdTxDInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the executed order has a registered status on the books of the transfer agent.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

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

#### 22.4.7.7.12 UnitsQuantity <UnitsQty>

*Presence:* [1..1]

*Definition:* Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.7.7.13 CreditDebit <CdtDbt>

*Presence:* [1..1]

*Definition:* Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

*Datatype:* ["CreditDebitCode"](#) on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 22.4.7.7.14 Reversal <Rvsl>

*Presence:* [0..1]

*Definition:* Transaction being reported is a reversal of previously reported transaction.

*Datatype:* ["ReversalCode"](#) on page 2491

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 22.4.7.7.15 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

*Impacted by:* C1 "ActiveCurrency", C4 "CurrencyAmount"

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

## Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 22.4.7.7.16 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2521

### 22.4.7.7.17 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 22.4.7.7.18 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 22.4.7.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 22.4.7.7.20 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2101
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103
	Value <Val>	[1..1]	±		2103
	PriceMethod <PricMtd>	[0..1]	CodeSet		2103

#### 22.4.7.8 BalanceByPage <BalByPg>

*Presence:* [0..1]

*Definition:* Balance of the financial instrument for this specific statement page.

**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			276
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		276
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		277
	ClosingBalance <ClsgBal>	[0..1]			277
{Or	FinalClosingBalance <FnIclsgBal>	[0..1]	±		277
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		277

##### 22.4.7.8.1 OpeningBalance <OpngBal>

*Presence:* [0..1]

*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.

**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		276
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		277

##### 22.4.7.8.1.1 FirstOpeningBalance <FrstOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of the financial instrument in the statement.



**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.7.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.7.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance</b> <FnIClsgBal>	[0..1]	±		277
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		277

##### 22.4.7.8.2.1 FinalClosingBalance <FnIClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

##### 22.4.7.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

## 22.4.8 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

*Impacted by:* C8 "TransactionOnSubAccountRule"

**SubAccountDetails** <SubAcctDtls> contains the following **SubAccountIdentification36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		280
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		280
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			281
	<b>Identification</b> <Id>	[1..1]	±		283
	<b>Name</b> <Nm>	[0..1]	Text		283
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		284
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		284
	<b>ClassType</b> <Clsstyp>	[0..1]	Text		284
	<b>DistributionPolicy</b> <Dstrbtpcy>	[0..1]	CodeSet		284
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	284
	<b>EventType</b> <EvtTp>	[1..1]			285
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		286
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		286
	<b>BookingStatus</b> <Bookgsts>	[0..1]	CodeSet		286
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		286
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		287
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		287
	<b>DealReference</b> <DealRef>	[0..1]	Text		287
	<b>LegIdentification</b> <LegId>	[0..1]	Text		287
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		287
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		287
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		287
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		287
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		288
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		288
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		288
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	288
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		289
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		289
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		289
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		289

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		290
	<b>BalanceByPage</b> <BalByPg>	[0..1]			290
	<b>OpeningBalance</b> <OpngBal>	[0..1]			290
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		290
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		291
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			291
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		291
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		291

#### Constraints

- **TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

#### 22.4.8.1 Identification <Id>

*Presence:* [1..1]

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

**Identification <Id>** contains one of the following elements (see "AccountIdentificationFormatChoice" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 22.4.8.2 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### **22.4.8.3 TransactionOnSubAccount <TxOnSubAcct>**

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnSubAccount <TxOnSubAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		283
	<b>Name</b> <Nm>	[0..1]	Text		283
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		284
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		284
	<b>ClassType</b> <ClsTp>	[0..1]	Text		284
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		284
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	284
	<b>EventType</b> <EvtTp>	[1..1]			285
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		286
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		286
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		286
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		286
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		287
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		287
	<b>DealReference</b> <DealRef>	[0..1]	Text		287
	<b>LegIdentification</b> <LegId>	[0..1]	Text		287
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		287
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		287
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		287
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		287
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		288
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		288
	<b>Reversal</b> <Rvs/>	[0..1]	CodeSet		288
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	288
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		289
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		289
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		289
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		289
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		290
	<b>BalanceByPage</b> <BalByPg>	[0..1]			290

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			290
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		290
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		291
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			291
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		291
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		291

#### 22.4.8.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification3Choice" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

#### 22.4.8.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

### 22.4.8.3.3 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

### 22.4.8.3.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

### 22.4.8.3.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

### 22.4.8.3.6 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 22.4.8.3.7 TransactionDetails <TxDtIs>

*Presence:* [1..\*]

*Definition:* Process of buying, selling, switching or transferring fund units.

*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"



**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			285
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		286
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		286
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		286
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		286
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		287
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		287
	<b>DealReference</b> <DealRef>	[0..1]	Text		287
	<b>LegIdentification</b> <LegId>	[0..1]	Text		287
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		287
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		287
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		287
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		287
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		288
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		288
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		288
	<b>SettlementAmount</b> <StlmAmt>	[0..1]	Amount	C1, C4	288
	<b>SettlementDate</b> <StlmDt>	[0..1]	Date		289
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		289
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		289
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		289
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		290

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 22.4.8.3.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		286
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		286

#### 22.4.8.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2324
Or}	Proprietary <Prtry>	[1..1]	±		2325

#### 22.4.8.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2327 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2327
Or}	Proprietary <Prtry>	[1..1]	±		2329

#### 22.4.8.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2512

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 22.4.8.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.4 OrderReference <OrdRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### **22.4.8.3.7.9 OrderDateTime <OrdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### **22.4.8.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### **22.4.8.3.7.11 RegisteredTransactionIndicator <RegdTxDInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the executed order has a registered status on the books of the transfer agent.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

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

#### 22.4.8.3.7.12 UnitsQuantity <UnitsQty>

*Presence:* [1..1]

*Definition:* Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.8.3.7.13 CreditDebit <CdtDbt>

*Presence:* [1..1]

*Definition:* Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

*Datatype:* ["CreditDebitCode"](#) on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 22.4.8.3.7.14 Reversal <Rvsl>

*Presence:* [0..1]

*Definition:* Transaction being reported is a reversal of previously reported transaction.

*Datatype:* ["ReversalCode"](#) on page 2491

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 22.4.8.3.7.15 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

*Impacted by:* [C1 "ActiveCurrency"](#), [C4 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

## Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 22.4.8.3.7.16 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2521

### 22.4.8.3.7.17 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 22.4.8.3.7.18 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 22.4.8.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 22.4.8.3.7.20 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2101
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103
	Value <Val>	[1..1]	±		2103
	PriceMethod <PricMtd>	[0..1]	CodeSet		2103

#### 22.4.8.3.8 BalanceByPage <BalByPg>

*Presence:* [0..1]

*Definition:* Balance of the financial instrument for this specific statement page.

**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			290
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		290
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		291
	ClosingBalance <ClsgBal>	[0..1]			291
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		291
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		291

##### 22.4.8.3.8.1 OpeningBalance <OpngBal>

*Presence:* [0..1]

*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.

**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		290
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		291

##### 22.4.8.3.8.1.1 FirstOpeningBalance <FrstOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.8.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 22.4.8.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance &lt;FnIclsgBal&gt;</b>	[0..1]	±		291
Or}	<b>IntermediaryClosingBalance &lt;IntrmyClsgBal&gt;</b>	[0..1]	±		291

##### 22.4.8.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

##### 22.4.8.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

## 22.4.9 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C5 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

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



## 23 sem1.007.001.03 StatementOfInvestmentFundTransactionsCancellationV03

### 23.1 MessageDefinition Functionality

#### Scope

An account servicer, for example, a transfer agent sends the StatementOfInvestmentFundTransactionsCancellation message to the account owner, for example, an investment manager or its authorised representative to cancel a previously sent StatementOfInvestmentFundTransactions message.

#### Usage

The StatementOfInvestmentFundTransactionsCancellation message is used to cancel a previously sent StatementOfInvestmentFundTransactions message. This message must contain the reference of the message to be cancelled.

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

#### Outline

The StatementOfInvestmentFundTransactionsCancellationV03 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MessageIdentification

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

B. PreviousReference

Reference to a linked message that was previously sent.

C. RelatedReference

Reference to a linked message that was previously received.

D. MessagePagination

Pagination of the message.

E. StatementToBeCancelled

The Statement of Investment Fund Transactions message to cancel.

## 23.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <StmntOfInvstmtFndTxscxl>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		298
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		298
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		298
	<b>MessagePagination</b> <MsgPgntn>	[1..1]	±		299
	<b>StatementToBeCancelled</b> <StmntToBeCanc>	[0..1]		C7	299
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[0..1]			303
	<b>Reference</b> <Ref>	[1..1]	Text		303
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		303
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		304
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		304
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		305
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		305
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		305
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			305
	<b>Identification</b> <Id>	[1..1]	±		305
	<b>Name</b> <Nm>	[0..1]	Text		306
	<b>Designation</b> <Dsgnt>	[0..1]	Text		306
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			306
	<b>Identification</b> <Id>	[1..1]	±		306
	<b>Account</b> <Acct>	[0..1]	±		307
	<b>Role</b> <Role>	[0..1]	±		307
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		307
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			308
	<b>Identification</b> <Id>	[1..1]	±		310
	<b>Name</b> <Nm>	[0..1]	Text		310
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		311
	<b>SecuritiesForm</b> <SctiesForm>	[0..1]	CodeSet		311
	<b>ClassType</b> <ClsTp>	[0..1]	Text		311
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		311

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionDetails</b> <TxDtIs>	[1..*]		C9, C10	311
	<b>EventType</b> <EvtTp>	[1..1]			312
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		313
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		313
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		313
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		313
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		314
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		314
	<b>DealReference</b> <DealRef>	[0..1]	Text		314
	<b>LegIdentification</b> <LegId>	[0..1]	Text		314
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		314
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		314
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		314
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		314
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		315
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		315
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		315
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	315
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		316
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		316
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		316
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		316
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		317
	<b>BalanceByPage</b> <BalByPg>	[0..1]			317
	<b>OpeningBalance</b> <OpngBal>	[0..1]			317
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		317
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		318
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			318
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		318
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		318
	<b>SubAccountDetails</b> <SubAcctDtIs>	[0..*]		C8	319

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		321
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		321
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			321
	<b>Identification</b> <Id>	[1..1]	±		324
	<b>Name</b> <Nm>	[0..1]	Text		324
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		325
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		325
	<b>ClassType</b> <Clsstyp>	[0..1]	Text		325
	<b>DistributionPolicy</b> <Dstrbtply>	[0..1]	CodeSet		325
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	325
	<b>EventType</b> <EvtTp>	[1..1]			326
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327
	<b>BookingStatus</b> <Bookgsts>	[0..1]	CodeSet		327
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		327
	<b>OrderReference</b> <OrdRef>	[0..1]	Text		328
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		328
	<b>DealReference</b> <DealRef>	[0..1]	Text		328
	<b>LegIdentification</b> <LegId>	[0..1]	Text		328
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		328
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		328
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		328
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		328
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		329
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		329
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		329
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	329
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		330
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		330
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		330
	<b>PartiallyExecutedIndicator</b> <PrtylExctdInd>	[1..1]	Indicator		330

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		331
	<b>BalanceByPage</b> <BalByPg>	[0..1]			331
	<b>OpeningBalance</b> <OpngBal>	[0..1]			331
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		331
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		332
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			332
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		332
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		332
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	333

## 23.3 Constraints

### C1 ActiveCurrency

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

### C2 AnyBIC

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

### C3 Country

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

### C4 CurrencyAmount

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

Note: The decimal separator is a dot.

### C5 ExtensionRule

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

### C6 StreetNameAndOrPostOfficeBoxRule

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### C7 TransactionOnAccountOrSubAccountDetailsRule

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails must

be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

**C8 TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

**C9 TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

**C10 TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

## 23.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 23.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 23.4.2 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference2](#)" on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

### 23.4.3 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference2"](#) on page 1345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

## 23.4.4 MessagePagination <MsgPgntn>

*Presence:* [1..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

## 23.4.5 StatementToBeCancelled <StmntToBeCanc>

*Presence:* [0..1]

*Definition:* The Statement of Investment Fund Transactions message to cancel.

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

**StatementToBeCancelled <StmntToBeCanc>** contains the following  
**StatementOfInvestmentFundTransactions3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[0..1]			303
	<b>Reference</b> <Ref>	[1..1]	Text		303
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		303
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		304
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		304
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		305
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		305
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		305
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]			305
	<b>Identification</b> <Id>	[1..1]	±		305
	<b>Name</b> <Nm>	[0..1]	Text		306
	<b>Designation</b> <Dsgnt>	[0..1]	Text		306
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			306
	<b>Identification</b> <Id>	[1..1]	±		306
	<b>Account</b> <Acct>	[0..1]	±		307
	<b>Role</b> <Role>	[0..1]	±		307
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		307
	<b>TransactionOnAccount</b> <TxOnAcct>	[0..*]			308
	<b>Identification</b> <Id>	[1..1]	±		310
	<b>Name</b> <Nm>	[0..1]	Text		310
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		311
	<b>SecuritiesForm</b> <SctiesForm>	[0..1]	CodeSet		311
	<b>ClassType</b> <ClssTp>	[0..1]	Text		311
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		311
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	311
	<b>EventType</b> <EvtTp>	[1..1]			312
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		313
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		313
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		313
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		313



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		314
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		314
	<b>DealReference</b> <DealRef>	[0..1]	Text		314
	<b>LegIdentification</b> <LegId>	[0..1]	Text		314
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		314
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		314
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		314
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		314
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		315
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		315
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		315
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	315
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		316
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		316
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		316
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		316
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		317
	<b>BalanceByPage</b> <BalByPg>	[0..1]			317
	<b>OpeningBalance</b> <OpngBal>	[0..1]			317
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		317
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		318
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			318
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		318
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		318
	<b>SubAccountDetails</b> <SubAcctDtls>	[0..*]		C8	319
	<b>Identification</b> <Id>	[1..1]	±		321
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		321
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			321
	<b>Identification</b> <Id>	[1..1]	±		324
	<b>Name</b> <Nm>	[0..1]	Text		324
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		325

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		325
	<b>ClassType</b> <ClssTp>	[0..1]	Text		325
	<b>DistributionPolicy</b> <DstrbtnPlcy>	[0..1]	CodeSet		325
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	325
	<b>EventType</b> <EvtTp>	[1..1]			326
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		327
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		327
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		328
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		328
	<b>DealReference</b> <DealRef>	[0..1]	Text		328
	<b>LegIdentification</b> <LegId>	[0..1]	Text		328
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		328
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		328
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		328
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		328
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		329
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		329
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		329
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	329
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		330
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		330
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		330
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		330
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		331
	<b>BalanceByPage</b> <BalByPg>	[0..1]			331
	<b>OpeningBalance</b> <OpngBal>	[0..1]			331
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		331
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		332
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			332

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		332
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		332
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	333

#### Constraints

- **TransactionOnAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either one or more occurrences of TransactionOnAccount or one or more occurrences of SubAccountDetails must be present. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then TransactionOnAccount and SubAccountDetails are not allowed.

### 23.4.5.1 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [0..1]

*Definition:* General information related to the investment fund statement of transactions that is being cancelled.

**StatementGeneralDetails <StmntGnlDtls>** contains the following **Statement8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		303
	<b>StatementPeriod</b> <StmntPrd>	[1..1]	±		303
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		304
	<b>Frequency</b> <Frqcy>	[0..1]	CodeSet		304
	<b>UpdateType</b> <UpdTp>	[1..1]	CodeSet		305
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		305
	<b>ReportNumber</b> <RptNb>	[0..1]	Text		305

#### 23.4.5.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2536

#### 23.4.5.1.2 StatementPeriod <StmntPrd>

*Presence:* [1..1]

*Definition:* Period on which the statement is reporting.

**StatementPeriod <StmtPrd>** contains the following elements (see ["DatePeriodDetails"](#) on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1144
	ToDate <ToDt>	[1..1]	Date		1144

#### 23.4.5.1.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Creation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 23.4.5.1.4 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the statement.

*Datatype:* ["EventFrequency1Code"](#) on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 23.4.5.1.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Specifies if the statement is complete or only contains changes.

*Datatype:* "StatementUpdateTypeCode" on page 2498

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 23.4.5.1.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 23.4.5.1.7 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "Max5NumericText" on page 2537

#### 23.4.5.2 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Information related to an investment account of the statement that is being cancelled.

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following **InvestmentAccount43** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		305
	<b>Name</b> <Nm>	[0..1]	Text		306
	<b>Designation</b> <Dsgnt>	[0..1]	Text		306
	<b>IntermediaryInformation</b> <IntrmyInf>	[0..10]			306
	<b>Identification</b> <Id>	[1..1]	±		306
	<b>Account</b> <Acct>	[0..1]	±		307
	<b>Role</b> <Role>	[0..1]	±		307
	<b>AccountServicer</b> <AcctSvcr>	[0..1]	±		307

##### 23.4.5.2.1 Identification <Id>

*Presence:* [1..1]

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

**Identification <Id>** contains the following elements (see "AccountIdentification1" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 23.4.5.2.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 23.4.5.2.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 23.4.5.2.4 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following **Intermediary27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	±		306
	<b>Account &lt;Acct&gt;</b>	[0..1]	±		307
	<b>Role &lt;Role&gt;</b>	[0..1]	±		307

##### 23.4.5.2.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 23.4.5.2.4.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "[Account7](#)" on page 994 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		994
	AccountServicer <AcctSvcr>	[0..1]	±		994

#### 23.4.5.2.4.3 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "[Role4Choice](#)" on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1907
Or}	Proprietary <Prtry>	[1..1]	±		1908

#### 23.4.5.2.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

### 23.4.5.3 TransactionOnAccount <TxOnAcct>

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.



**TransactionOnAccount <TxOnAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		310
	<b>Name</b> <Nm>	[0..1]	Text		310
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		311
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		311
	<b>ClassType</b> <ClsTp>	[0..1]	Text		311
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		311
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	311
	<b>EventType</b> <EvtTp>	[1..1]			312
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		313
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		313
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		313
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		313
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		314
	<b>ClientReference</b> <ClntrRef>	[0..1]	Text		314
	<b>DealReference</b> <DealRef>	[0..1]	Text		314
	<b>LegIdentification</b> <LegId>	[0..1]	Text		314
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		314
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		314
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		314
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		314
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		315
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		315
	<b>Reversal</b> <Rvs/>	[0..1]	CodeSet		315
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	315
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		316
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		316
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		316
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		316
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		317
	<b>BalanceByPage</b> <BalByPg>	[0..1]			317

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			317
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		317
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		318
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			318
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		318
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		318

#### 23.4.5.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification3Choice" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

#### 23.4.5.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

### 23.4.5.3.3 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

### 23.4.5.3.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

### 23.4.5.3.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

### 23.4.5.3.6 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 23.4.5.3.7 TransactionDetails <TxDtIs>

*Presence:* [1..\*]

*Definition:* Process of buying, selling, switching or transferring fund units.

*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			312
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		313
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		313
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		313
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		313
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		314
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		314
	<b>DealReference</b> <DealRef>	[0..1]	Text		314
	<b>LegIdentification</b> <LegId>	[0..1]	Text		314
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		314
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		314
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		314
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		314
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		315
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		315
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		315
	<b>SettlementAmount</b> <StlmAmt>	[0..1]	Amount	C1, C4	315
	<b>SettlementDate</b> <StlmDt>	[0..1]	Date		316
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		316
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		316
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		316
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		317

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 23.4.5.3.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		313
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		313

#### 23.4.5.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2324
Or}	Proprietary <Prtry>	[1..1]	±		2325

#### 23.4.5.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2327 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2327
Or}	Proprietary <Prtry>	[1..1]	±		2329

#### 23.4.5.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2512

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 23.4.5.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

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*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.4 OrderReference <OrdRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.3.7.9 OrderDateTime <OrdDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### **23.4.5.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### **23.4.5.3.7.11 RegisteredTransactionIndicator <RegdTxInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 23.4.5.3.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.3.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** "CreditDebitCode" on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 23.4.5.3.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** "ReversalCode" on page 2491

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 23.4.5.3.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** C1 "ActiveCurrency", C4 "CurrencyAmount"

**Datatype:** "ActiveCurrencyAndAmount" on page 2410

## Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 23.4.5.3.7.16 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2521

### 23.4.5.3.7.17 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 23.4.5.3.7.18 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 23.4.5.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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



#### 23.4.5.3.7.20 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2101
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103
	Value <Val>	[1..1]	±		2103
	PriceMethod <PricMtd>	[0..1]	CodeSet		2103

#### 23.4.5.3.8 BalanceByPage <BalByPg>

*Presence:* [0..1]

*Definition:* Balance of the financial instrument for this specific statement page.

**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			317
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		317
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		318
	ClosingBalance <ClsgBal>	[0..1]			318
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		318
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		318

##### 23.4.5.3.8.1 OpeningBalance <OpngBal>

*Presence:* [0..1]

*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.

**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		317
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		318

##### 23.4.5.3.8.1.1 FirstOpeningBalance <FrstOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance &lt;FnIclsgBal&gt;</b>	[0..1]	±		318
Or}	<b>IntermediaryClosingBalance &lt;IntrmyClsgBal&gt;</b>	[0..1]	±		318

##### 23.4.5.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

##### 23.4.5.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).

**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.4 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* Sub-account of the safekeeping or investment account.

*Impacted by:* C8 "TransactionOnSubAccountRule"

**SubAccountDetails <SubAcctDtls>** contains the following **SubAccountIdentification36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		321
	<b>ActivityIndicator</b> <ActvtyInd>	[1..1]	Indicator		321
	<b>TransactionOnSubAccount</b> <TxOnSubAcct>	[0..*]			321
	<b>Identification</b> <Id>	[1..1]	±		324
	<b>Name</b> <Nm>	[0..1]	Text		324
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		325
	<b>SecuritiesForm</b> <ScitiesForm>	[0..1]	CodeSet		325
	<b>ClassType</b> <ClsTp>	[0..1]	Text		325
	<b>DistributionPolicy</b> <Dstrbtpcy>	[0..1]	CodeSet		325
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	325
	<b>EventType</b> <EvtTp>	[1..1]			326
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		327
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		327
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		328
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		328
	<b>DealReference</b> <DealRef>	[0..1]	Text		328
	<b>LegIdentification</b> <LegId>	[0..1]	Text		328
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		328
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		328
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		328
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		328
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		329
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		329
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		329
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	329
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		330
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		330
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		330
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		330

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		331
	<b>BalanceByPage</b> <BalByPg>	[0..1]			331
	<b>OpeningBalance</b> <OpngBal>	[0..1]			331
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		331
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		332
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			332
{Or	<b>FinalClosingBalance</b> <FnlClsgBal>	[0..1]	±		332
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		332

#### Constraints

- **TransactionOnSubAccountRule**

If ActivityIndicator is "true" or "1" (Yes), then TransactionOnSubAccount must be present. If ActivityIndicator is "false" or "0" (No), then TransactionOnSubAccount is not allowed.

#### 23.4.5.4.1 Identification <Id>

*Presence:* [1..1]

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

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 23.4.5.4.2 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

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

#### 23.4.5.4.3 TransactionOnSubAccount <TxOnSubAcct>

*Presence:* [0..\*]

*Definition:* Creation/cancellation of investment units on the books of the fund or its designated agent, as a result of executing an investment fund order.

**TransactionOnSubAccount <TxOnSubAcct>** contains the following **InvestmentFundTransactionsByFund3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	±		324
	<b>Name</b> <Nm>	[0..1]	Text		324
	<b>SupplementaryIdentification</b> <SplmtryId>	[0..1]	Text		325
	<b>SecuritiesForm</b> <SciesForm>	[0..1]	CodeSet		325
	<b>ClassType</b> <ClsTp>	[0..1]	Text		325
	<b>DistributionPolicy</b> <DstrbtpPlcy>	[0..1]	CodeSet		325
	<b>TransactionDetails</b> <TxDtls>	[1..*]		C9, C10	325
	<b>EventType</b> <EvtTp>	[1..1]			326
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		327
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		327
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		328
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		328
	<b>DealReference</b> <DealRef>	[0..1]	Text		328
	<b>LegIdentification</b> <LegId>	[0..1]	Text		328
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		328
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		328
	<b>SettledTransactionIndicator</b> <SttldTxInd>	[1..1]	Indicator		328
	<b>RegisteredTransactionIndicator</b> <RegdTxDInd>	[1..1]	Indicator		328
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		329
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		329
	<b>Reversal</b> <Rvs/>	[0..1]	CodeSet		329
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C1, C4	329
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		330
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		330
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		330
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		330
	<b>PriceDetails</b> <PricDtls>	[0..1]	±		331
	<b>BalanceByPage</b> <BalByPg>	[0..1]			331

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OpeningBalance</b> <OpngBal>	[0..1]			331
{Or	<b>FirstOpeningBalance</b> <FrstOpngBal>	[1..1]	±		331
Or}	<b>IntermediaryOpeningBalance</b> <IntrmyOpngBal>	[1..1]	±		332
	<b>ClosingBalance</b> <ClsgBal>	[0..1]			332
{Or	<b>FinalClosingBalance</b> <FnClsgBal>	[0..1]	±		332
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		332

#### 23.4.5.4.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

#### 23.4.5.4.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536



#### 23.4.5.4.3.3 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

#### 23.4.5.4.3.4 SecuritiesForm <SciesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 23.4.5.4.3.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

#### 23.4.5.4.3.6 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 23.4.5.4.3.7 TransactionDetails <TxDtls>

*Presence:* [1..\*]

*Definition:* Process of buying, selling, switching or transferring fund units.

*Impacted by:* C9 "TransactionTypeLegExecutionIdentificationRule", C10 "TransactionTypeLegIdentificationRule"

**TransactionDetails <TxDtIs>** contains the following **InvestmentFundTransaction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventType</b> <EvtTp>	[1..1]			326
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327
	<b>BookingStatus</b> <BookgSts>	[0..1]	CodeSet		327
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		327
	<b>OrderReference</b> <OrdrRef>	[0..1]	Text		328
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		328
	<b>DealReference</b> <DealRef>	[0..1]	Text		328
	<b>LegIdentification</b> <LegId>	[0..1]	Text		328
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		328
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		328
	<b>SettledTransactionIndicator</b> <StldTxInd>	[1..1]	Indicator		328
	<b>RegisteredTransactionIndicator</b> <RegdTxInd>	[1..1]	Indicator		328
	<b>UnitsQuantity</b> <UnitsQty>	[1..1]	±		329
	<b>CreditDebit</b> <CdtDbt>	[1..1]	CodeSet		329
	<b>Reversal</b> <Rvsl>	[0..1]	CodeSet		329
	<b>SettlementAmount</b> <StlmAmt>	[0..1]	Amount	C1, C4	329
	<b>SettlementDate</b> <StlmDt>	[0..1]	Date		330
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		330
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		330
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		330
	<b>PriceDetails</b> <PricDtIs>	[0..1]	±		331

#### Constraints

- **TransactionTypeLegExecutionIdentificationRule**

If TransactionType is SWII or SWIO, then LegExecutionIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegExecutionIdentification is not allowed.

- **TransactionTypeLegIdentificationRule**

If TransactionType is SWII or SWIO, then LegIdentification is optional. If TransactionType is neither SWII nor SWIO, then LegIdentification is not allowed.

#### 23.4.5.4.3.7.1 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Underlying transaction or corporate action.

**EventType <EvtTp>** contains one of the following **TransactionType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TransactionType</b> <TxTp>	[1..1]	±		327
Or}	<b>CorporateActionType</b> <CorpActnTp>	[1..1]	±		327

#### 23.4.5.4.3.7.1.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of investment fund transaction.

**TransactionType <TxTp>** contains one of the following elements (see ["TransactionType2Choice"](#) on page 2324 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2324
Or}	Proprietary <Prtry>	[1..1]	±		2325

#### 23.4.5.4.3.7.1.2 CorporateActionType <CorpActnTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

**CorporateActionType <CorpActnTp>** contains one of the following elements (see ["CorporateAction1Choice"](#) on page 2327 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2327
Or}	Proprietary <Prtry>	[1..1]	±		2329

#### 23.4.5.4.3.7.2 BookingStatus <BookgSts>

*Presence:* [0..1]

*Definition:* Status of an investment fund transaction.

*Datatype:* ["TransactionStatus1Code"](#) on page 2512

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 23.4.5.4.3.7.3 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

---

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.4 OrderReference <OrdrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.5 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.6 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order execution, as assigned by a confirming party.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.7 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.8 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for an instance of a leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### **23.4.5.4.3.7.9 OrderDateTime <OrdrDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### **23.4.5.4.3.7.10 SettledTransactionIndicator <SttldTxInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash payment with respect to the executed order is settled.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### **23.4.5.4.3.7.11 RegisteredTransactionIndicator <RegdTxInd>**

*Presence:* [1..1]

**Definition:** Indicates whether the executed order has a registered status on the books of the transfer agent.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 23.4.5.4.3.7.12 UnitsQuantity <UnitsQty>

**Presence:** [1..1]

**Definition:** Number of investment funds units.

**UnitsQuantity <UnitsQty>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.4.3.7.13 CreditDebit <CdtDbt>

**Presence:** [1..1]

**Definition:** Direction of the transaction being reported, is, securities are received (credited) or delivered (debited).

**Datatype:** "CreditDebitCode" on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 23.4.5.4.3.7.14 Reversal <Rvsl>

**Presence:** [0..1]

**Definition:** Transaction being reported is a reversal of previously reported transaction.

**Datatype:** "ReversalCode" on page 2491

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

#### 23.4.5.4.3.7.15 SettlementAmount <SttlmAmt>

**Presence:** [0..1]

**Definition:** Amount of money to be moved between the debtor and creditor, before deduction of charges, expressed in the currency as ordered by the initiating party.

**Impacted by:** C1 "ActiveCurrency", C4 "CurrencyAmount"

**Datatype:** "ActiveCurrencyAndAmount" on page 2410

## Constraints

- **ActiveCurrency**

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

- **CurrencyAmount**

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

Note: The decimal separator is a dot.

### 23.4.5.4.3.7.16 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date on which the debtor expects the amount of money to be available to the creditor.

*Datatype:* "ISODate" on page 2521

### 23.4.5.4.3.7.17 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 23.4.5.4.3.7.18 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

### 23.4.5.4.3.7.19 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

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

#### 23.4.5.4.3.7.20 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice20" on page 2101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2101
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103
	Value <Val>	[1..1]	±		2103
	PriceMethod <PricMtd>	[0..1]	CodeSet		2103

#### 23.4.5.4.3.8 BalanceByPage <BalByPg>

*Presence:* [0..1]

*Definition:* Balance of the financial instrument for this specific statement page.

**BalanceByPage <BalByPg>** contains the following **PaginationBalance2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningBalance <OpngBal>	[0..1]			331
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		331
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		332
	ClosingBalance <ClsgBal>	[0..1]			332
{Or	FinalClosingBalance <FnlClsgBal>	[0..1]	±		332
Or}	IntermediaryClosingBalance <IntrmyClsgBal>	[0..1]	±		332

#### 23.4.5.4.3.8.1 OpeningBalance <OpngBal>

*Presence:* [0..1]

*Definition:* Opening balance of the financial instrument in the statement or of the intermediary opening balance of the page of the statement.

**OpeningBalance <OpngBal>** contains one of the following **OpeningBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FirstOpeningBalance <FrstOpngBal>	[1..1]	±		331
Or}	IntermediaryOpeningBalance <IntrmyOpngBal>	[1..1]	±		332

#### 23.4.5.4.3.8.1.1 FirstOpeningBalance <FrstOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of the financial instrument in the statement.

**FirstOpeningBalance <FrstOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.4.3.8.1.2 IntermediaryOpeningBalance <IntrmyOpngBal>

*Presence:* [1..1]

*Definition:* Opening balance of this page only. It must be the intermediary closing balance of the previous page (part of the same statement).

**IntermediaryOpeningBalance <IntrmyOpngBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.4.3.8.2 ClosingBalance <ClsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement or of the intermediary closing balance of the page of the statement.

**ClosingBalance <ClsgBal>** contains one of the following **ClosingBalance3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>FinalClosingBalance</b> <FnIclsgBal>	[0..1]	±		332
Or}	<b>IntermediaryClosingBalance</b> <IntrmyClsgBal>	[0..1]	±		332

#### 23.4.5.4.3.8.2.1 FinalClosingBalance <FnIclsgBal>

*Presence:* [0..1]

*Definition:* Closing balance of the financial instrument in the statement.

**FinalClosingBalance <FnIclsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 23.4.5.4.3.8.2.2 IntermediaryClosingBalance <IntrmyClsgBal>

*Presence:* [0..1]

*Definition:* Closing Balance of this page only. Must be the intermediary opening balance of the next page (part of the same statement).



**IntermediaryClosingBalance <IntrmyClsgBal>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

### 23.4.5.5 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* C5 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

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

## 24 **sese.001.001.09**

# TransferOutInstructionV09

### 24.1 MessageDefinition Functionality

#### Scope

The TransferOutInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the delivery of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

#### Usage

The TransferOutInstruction message is used to instruct the withdrawal of a financial instrument from one account and deliver it to either another account or to a third party.

#### Outline

The TransferOutInstructionV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MasterReference  
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. TransferDetails  
General information related to the transfer of the financial instrument.
- G. AccountDetails  
Information related to the account from which the financial instrument is to be withdrawn.
- H. SettlementDetails  
Information related to the receiving side of the transfer.
- I. MarketPracticeVersion  
Identifies the market practice to which the message conforms.
- J. CopyDetails

Information provided when the message is a copy of a previous message.

#### K. Extension

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

## 24.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutInstr>	[1..1]		C25	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		338
	<b>PoolReference</b> <PoolRef>	[0..1]	±		338
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		339
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		339
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		339
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C27	339
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		340
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C23, C24	341
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		343
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		343
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	343

## 24.3 Constraints

### C1 ActiveCurrency

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

### C2 ActiveOrHistoricCurrency

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

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 AnyBIC**

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

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

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

**C9 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

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

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

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

**C15 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

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

**C17 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C20 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C21 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C22 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C23 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C24 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMT (Dematerialised), then PhysicalTransferDetails is not allowed.

**C25 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C26 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C27 TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C28 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 24.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 24.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 24.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 24.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 24.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 24.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 24.4.6 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C27 "TotalUnitsNumberRule"

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer36" on page 2330 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2331
	ClientReference <ClntRef>	[0..1]	±		2331
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2331
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2331
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2332
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2332
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		2332
	TransferReason <TrfRsn>	[0..1]	±		2332
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2332
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2333
	Quantity <Qty>	[1..1]	±		2333
	UnitsDetails <UnitsDtls>	[0..*]	±		2334
	Rounding <Rndg>	[0..1]	CodeSet		2334
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2335
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2335
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2335
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2336
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2336
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2336

#### Constraints

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 24.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account from which the financial instrument is to be withdrawn.



**AccountDetails <AcctDtls>** contains the following elements (see "InvestmentAccount70" on page 1414 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1414
	AccountIdentification <AcctId>	[1..1]	Text		1415
	AccountName <AcctNm>	[0..1]	Text		1415
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1415
	AccountServicer <AcctSvcr>	[0..1]	±		1415
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1415
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1416
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1416
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1416
	IncomePreference <IncmPref>	[0..1]	CodeSet		1417
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1417
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1417
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1418

## 24.4.8 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the receiving side of the transfer.

*Impacted by:* C23 "PhysicalTransferDetails1Rule", C24 "PhysicalTransferDetails2Rule"

**SettlementDetails <SttlmDtls>** contains the following elements (see "ReceiveInformation21" on page 2377 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2378
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2379
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2379
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2379
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2380
	IncomePreference <IncmPref>	[0..1]	CodeSet		2380
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2380
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2380
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2381
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2381
	StampDuty <StmpDty>	[0..1]	CodeSet		2381
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2381
	Fees <Fees>	[0..*]	±	C15	2382
	IndividualTax <IndvTax>	[0..*]	±		2383
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2383
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2384
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2385
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2385
	ClientReference <ClntRef>	[0..1]	±		2385

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 24.4.9 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 24.4.10 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 24.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

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

*Impacted by:* [C14 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

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

## 25 sese.002.001.09 TransferOutCancellationRequestV09

### 25.1 MessageDefinition Functionality

#### Scope

The TransferOutCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer out instruction.

#### Usage

The TransferOutCancellationRequest message is used to request the cancellation of one or more transfer out instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer out instructions, the transfer reference of the transfer, as specified in the original TransferOutInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferOutCancellationRequest is made using a TransferCancellationStatusReport message.

#### Outline

The TransferOutCancellationRequestV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

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

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferReferences

Reference of the transfer to be cancelled.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

H. CopyDetails

Information provided when the message is a copy of a previous message.

## 25.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfOutCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		346
	<b>PoolReference</b> <PoolRef>	[0..1]	±		346
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		346
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		346
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		347
	<b>TransferReferences</b> <TrfRefs>	[1..*]			347
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		347
	<b>ClientReference</b> <CIntRef>	[0..1]	±		347
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		348
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		348
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		348
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		348
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		349

## 25.3 Constraints

### C1 AnyBIC

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

### C2 Country

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

## 25.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 25.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

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

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 25.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

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

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

## 25.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

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

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 25.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

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

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 25.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

## 25.4.6 TransferReferences <TrfRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		347
	<b>ClientReference</b> <CIntRef>	[0..1]	±		347
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		348
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		348
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		348

### 25.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 25.4.6.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 25.4.6.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 25.4.6.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 25.4.6.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max35Text" on page 2536

## 25.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

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



**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 25.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation5" on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 26 **sese.003.001.09**

# TransferOutConfirmationV09

### 26.1 MessageDefinition Functionality

The TransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the delivery of a financial instrument, free of payment, on a given date, to a specified party.

This message may also be used to confirm the delivery of a financial instrument, free of payment, to another of the instructing parties own accounts or to a third party.

#### Usage

The TransferOutConfirmation message is used to confirm the withdrawal of a financial instrument from the owner's account and its delivery to another own account, or to a third party, has taken place.

The reference of the transfer confirmation is identified in TransferConfirmationReference. The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferOutInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference but this is not recommended.

#### Outline

The TransferOutConfirmationV09 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MasterReference  
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. TransferDetails  
General information related to the transfer of the financial instrument.
- G. AccountDetails  
Information related to the account from which the financial instrument was withdrawn.
- H. SettlementDetails  
Information related to the receiving side of the transfer.
- I. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### J. CopyDetails

Information provided when the message is a copy of a previous message.

#### K. Extension

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

## 26.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrfOutConf>	[1..1]		C14, C26	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		354
	<b>PoolReference</b> <PoolRef>	[0..1]	±		354
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		355
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		355
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		355
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C28	355
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		357
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C24, C25	357
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		359
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		359
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	359

## 26.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 EffectiveSettlementDateRule**

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/EffectiveSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C19 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C20 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C21 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C22 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C23 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C24 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C25 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

**C26 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C27 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C28 TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C29 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 26.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 26.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 26.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 26.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 26.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 26.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 26.4.6 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C28 "TotalUnitsNumberRule"

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer37" on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2387
	TransferReference <TrfRef>	[1..1]	Text		2387
	ClientReference <ClntRef>	[0..1]	±		2387
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2387
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2388
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2388
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2388
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2388
	TradeDate <TradDt>	[0..1]	±		2388
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2389
	TransferReason <TrfRsn>	[0..1]	±		2389
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2389
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2389
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2390
	TransferRate <TrfRate>	[0..1]	Rate		2390
	UnitsDetails <UnitsDtls>	[0..*]	±		2390
	Rounding <Rndg>	[0..1]	CodeSet		2391
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2391
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2392
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	2392
	AverageDate <AvrgDt>	[0..1]	Date		2392
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2392
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2393
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2393
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2393
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2393



**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 26.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account from which the financial instrument was withdrawn.

**AccountDetails <AcctDtls>** contains the following elements (see "[InvestmentAccount70](#)" on page 1414 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1414
	AccountIdentification <AcctId>	[1..1]	Text		1415
	AccountName <AcctNm>	[0..1]	Text		1415
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1415
	AccountServicer <AcctSvcr>	[0..1]	±		1415
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1415
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1416
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1416
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1416
	IncomePreference <IncmPref>	[0..1]	CodeSet		1417
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1417
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1417
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1418

## 26.4.8 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the receiving side of the transfer.

*Impacted by:* [C24 "PhysicalTransferDetails1Rule"](#), [C25 "PhysicalTransferDetails2Rule"](#)

**SettlementDetails <SttlmDtls>** contains the following elements (see "ReceiveInformation20" on page 2368 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2370
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2370
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2370
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2371
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2371
	IncomePreference <IncmPref>	[0..1]	CodeSet		2371
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2371
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2372
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2372
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2372
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2372
	StampDuty <StrmpDty>	[0..1]	CodeSet		2372
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2373
	Fees <Fees>	[0..*]	±	C15	2373
	IndividualTax <IndvTax>	[0..*]	±		2374
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2375
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2376
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2376
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2377
	ClientReference <ClntRef>	[0..1]	±		2377

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 26.4.9 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 26.4.10 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 26.4.11 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* [C15 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 27      **sese.004.001.09**

## **ReversalOfTransferOutConfirmationV09**

### 27.1    **MessageDefinition Functionality**

#### Scope

The ReversalOfTransferOutConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer out confirmation.

#### Usage

The ReversalOfTransferOutConfirmation message is used to reverse a previously sent transfer out confirmation.

To request the reversal of a transfer out confirmation, the transfer reference of the transfer out instruction, as specified in the original TransferOutInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferOutConfirmation message may also be quoted in PreviousReference but this is not recommended.

#### Outline

The ReversalOfTransferOutConfirmationV09 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MasterReference  
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. ReversalReferences  
Reference of the transfer confirmation to be reversed.
- G. MarketPracticeVersion  
Identifies the market practice to which the message conforms.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

## 27.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <RvslOfTrfOutConf>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		361
	<b>PoolReference</b> <PoolRef>	[0..1]	±		362
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		362
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		362
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		363
	<b>ReversalReferences</b> <RvslRefs>	[1..*]			363
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		363
	<b>ClientReference</b> <ClntRef>	[0..1]	±		363
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		364
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		364
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		364
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		364
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		364
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		365

## 27.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 27.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 27.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 27.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

## 27.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 27.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 27.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

## 27.4.6 ReversalReferences <RvslRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer confirmation to be reversed.

**ReversalReferences <RvslRefs>** contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		363
	<b>ClientReference</b> <ClntRef>	[0..1]	±		363
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		364
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		364
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		364
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		364

### 27.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 27.4.6.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 27.4.6.3 TransferConfirmationReference <TrfConfRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 27.4.6.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 27.4.6.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the reversal as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 27.4.6.6 ReversalReason <RvslRsn>

*Presence:* [0..1]

*Definition:* Reason for the reversal of confirmation.

*Datatype:* "Max35Text" on page 2536

### 27.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.



**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 27.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation5" on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 28 **sese.005.001.09** **TransferInstructionV09**

### 28.1 **MessageDefinition Functionality**

The TransferInstruction message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the receipt of a financial instrument, free of payment, on a given date from a specified party.

This message may also be used to instruct the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

#### Usage

The TransferInstruction message is used to instruct the receipt of a financial instrument from another account, either owned by the instructing party or by a third party.

#### Outline

The TransferInstructionV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. Function  
Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.
- F. MasterReference  
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- G. TransferDetails  
General information related to the transfer of the financial instrument.
- H. AccountDetails  
Information related to the account into which the financial instrument is to be received.
- I. SettlementDetails  
Information related to the delivering side of the transfer.
- J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### K. CopyDetails

Information provided when the message is a copy of a previous message.

#### L. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 28.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrflInstr>	[1..1]		C25	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		370
	<b>PoolReference</b> <PoolRef>	[0..1]	±		370
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		371
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		371
	<b>Function</b> <Fctn>	[0..1]	CodeSet		371
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		372
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C27	372
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		373
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C23, C24	374
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		376
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		376
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	376

## 28.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C16 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C17 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C20 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C21 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C22 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C23 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C24 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DMT (Dematerialised), then PhysicalTransferDetails is not allowed.

**C25 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C26 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C27 TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C28 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 28.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 28.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 28.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference11" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 28.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 28.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 28.4.5 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer in, that is, whether the transfer in message is used as an instruction or an advice and request for information. The absence of Function indicates the message is an instruction.

*Datatype:* "TransferInFunction1Code" on page 2513

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform

CodeName	Name	Definition
		the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

## 28.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

## 28.4.7 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C27 "TotalUnitsNumberRule"



**TransferDetails <TrfDtls>** contains the following elements (see "Transfer36" on page 2330 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2331
	ClientReference <ClntRef>	[0..1]	±		2331
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2331
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2331
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2332
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2332
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2332
	TransferReason <TrfRsn>	[0..1]	±		2332
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2332
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2333
	Quantity <Qty>	[1..1]	±		2333
	UnitsDetails <UnitsDtls>	[0..*]	±		2334
	Rounding <Rndg>	[0..1]	CodeSet		2334
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2335
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2335
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2335
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2336
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2336
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2336

#### Constraints

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 28.4.8 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account into which the financial instrument is to be received.

**AccountDetails <AcctDtls>** contains the following elements (see "InvestmentAccount71" on page 1409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1410
	AccountIdentification <AcctId>	[1..1]	Text		1410
	AccountName <AcctNm>	[0..1]	Text		1410
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1411
	AccountServicer <AcctSvcr>	[0..1]	±		1411
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1411
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1411
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1412
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1412
	IncomePreference <IncmPref>	[0..1]	CodeSet		1412
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1413
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1413
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1413

## 28.4.9 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the delivering side of the transfer.

*Impacted by:* C23 "PhysicalTransferDetails1Rule", C24 "PhysicalTransferDetails2Rule"

**SettlementDetails <SttlmDtls>** contains the following elements (see "DeliverInformation21" on page 2360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2361
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2362
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2362
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2362
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2363
	IncomePreference <IncmPref>	[0..1]	CodeSet		2363
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2363
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2363
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2364
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2364
	StampDuty <StmpDty>	[0..1]	CodeSet		2364
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2364
	Fees <Fees>	[0..*]	±	C15	2365
	IndividualTax <IndvTax>	[0..*]	±		2366
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2366
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2367
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2368
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2368
	ClientReference <ClntRef>	[0..1]	±		2368

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 28.4.10 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "[MarketPracticeVersion1](#)" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 28.4.11 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation5](#)" on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 28.4.12 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* [C14 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 29      **sese.006.001.09**

## **TransferInCancellationRequestV09**

### 29.1    **MessageDefinition Functionality**

#### Scope

The TransferInCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent transfer in instruction.

#### Usage

The TransferInCancellationRequest message is used to request the cancellation of one or more transfer in instructions.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more transfer in instructions, the transfer reference of the transfer, as specified in the original TransferInInstruction message, is specified in the transfer reference element.

The message identification of the original TransferOutInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a TransferInCancellationRequest is made using a TransferCancellationStatusReport message.

#### Outline

The TransferInCancellationRequestV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. Function

Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

G. TransferReferences

Reference of the transfer to be cancelled.

H. MarketPracticeVersion

Identifies the market practice to which the message conforms.

I. CopyDetails

Information provided when the message is a copy of a previous message.

## 29.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrflnCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		379
	<b>PoolReference</b> <PoolRef>	[0..1]	±		379
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		379
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		380
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		380
	<b>Function</b> <Fctn>	[0..1]	CodeSet		380
	<b>TransferReferences</b> <TrfRefs>	[1..*]			381
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		381
	<b>ClientReference</b> <ClntRef>	[0..1]	±		381
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		381
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		382
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		382
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		382
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		382

## 29.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 29.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 29.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 29.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 29.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 29.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 29.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

## 29.4.6 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer-in, that is, whether the message is used as a request to cancel a previously sent instruction or as a cancellation of a previously sent advice and request for information. The absence of Function indicates the message is a request to cancel a previously sent instruction.

*Datatype:* "TransferInFunction1Code" on page 2513

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.



## 29.4.7 TransferReferences <TrfRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		381
	<b>ClientReference</b> <ClntRef>	[0..1]	±		381
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		381
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		382
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		382

### 29.4.7.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the cancellation request is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 29.4.7.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 29.4.7.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 29.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer cancellation, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 29.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* ["Max35Text"](#) on page 2536

### 29.4.8 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 29.4.9 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 30 sese.007.001.09 TransferInConfirmationV09

### 30.1 MessageDefinition Functionality

#### Scope

The TransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the receipt of a financial instrument, free of payment, on a given date, from a specified party.

This message may also be used to confirm the receipt of a financial instrument, free of payment, from another of the instructing parties own accounts or from a third party.

This message may also be used as an advice, that is, the message is used to provide account information.

#### Usage

The TransferInConfirmation message is used to confirm receipt of a financial instrument, either from another account owned by the instructing party or from a third party. The reference of the transfer confirmation is identified in TransferConfirmationReference.

The reference of the original transfer instruction is specified in TransferReference. The message identification of the TransferInInstruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

#### Outline

The TransferInConfirmationV09 MessageDefinition is composed of 12 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. Function

Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as or an advice. The absence of Function indicates the message is a confirmation.

F. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

G. TransferDetails

General information related to the transfer of the financial instrument.

#### H. AccountDetails

Information related to the account into which the financial instrument was received.

#### I. SettlementDetails

Information related to the delivering side of the transfer.

#### J. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### K. CopyDetails

Information provided when the message is a copy of a previous message.

#### L. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 30.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrflnConf>	[1..1]		C14, C26	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		387
	<b>PoolReference</b> <PoolRef>	[0..1]	±		388
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		388
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		388
	<b>Function</b> <Fctn>	[0..1]	CodeSet		389
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		389
	<b>TransferDetails</b> <TrfDtls>	[1..*]	±	C28	389
	<b>AccountDetails</b> <AcctDtls>	[1..1]	±		391
	<b>SettlementDetails</b> <SttlmDtls>	[0..1]	±	C24, C25	391
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		393
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		393
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	393

## 30.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with

the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C2 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 EffectiveSettlementDateRule**

Either TransferDetails/EffectiveSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/Effective Settlement Date may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**C19 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C20 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C21 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C22 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C23 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C24 PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

**C25 PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

**C26 RequestedSettlementDateRule**

Either TransferDetails/RequestedSettlementDate may be present in one or more occurrences of TransferDetails or SettlementDetails/RequestedSettlementDate may be present, but not both.

*This constraint is defined at the MessageDefinition level.*

**C27 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C28 TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**C29 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 30.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 30.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 30.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

## 30.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 30.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.



**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 30.4.5 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer in, that is, whether the transfer in message is used as a confirmation or as or an advice. The absence of Function indicates the message is a confirmation.

*Datatype:* "TransferInFunction2Code" on page 2513

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 30.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 30.4.7 TransferDetails <TrfDtls>

*Presence:* [1..\*]

*Definition:* General information related to the transfer of the financial instrument.

*Impacted by:* C28 "TotalUnitsNumberRule"

**TransferDetails <TrfDtls>** contains the following elements (see "Transfer37" on page 2385 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2387
	TransferReference <TrfRef>	[1..1]	Text		2387
	ClientReference <ClntRef>	[0..1]	±		2387
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2387
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2388
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2388
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2388
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2388
	TradeDate <TradDt>	[0..1]	±		2388
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2389
	TransferReason <TrfRsn>	[0..1]	±		2389
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2389
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2389
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2390
	TransferRate <TrfRate>	[0..1]	Rate		2390
	UnitsDetails <UnitsDtls>	[0..*]	±		2390
	Rounding <Rndg>	[0..1]	CodeSet		2391
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2391
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2392
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	2392
	AverageDate <AvrgDt>	[0..1]	Date		2392
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2392
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2393
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2393
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2393
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2393

**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

## 30.4.8 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Information related to the account into which the financial instrument was received.

**AccountDetails <AcctDtls>** contains the following elements (see "[InvestmentAccount71](#)" on page 1409 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1410
	AccountIdentification <AcctId>	[1..1]	Text		1410
	AccountName <AcctNm>	[0..1]	Text		1410
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1411
	AccountServicer <AcctSvcr>	[0..1]	±		1411
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1411
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1411
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1412
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1412
	IncomePreference <IncmPref>	[0..1]	CodeSet		1412
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1413
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1413
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1413

## 30.4.9 SettlementDetails <SttlmDtls>

*Presence:* [0..1]

*Definition:* Information related to the delivering side of the transfer.

*Impacted by:* [C24 "PhysicalTransferDetails1Rule"](#), [C25 "PhysicalTransferDetails2Rule"](#)

**SettlementDetails <SttlmDtls>** contains the following elements (see "DeliverInformation20" on page 2351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2353
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2353
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2353
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2354
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2354
	IncomePreference <IncmPref>	[0..1]	CodeSet		2354
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2354
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2355
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2355
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2355
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2355
	StampDuty <StmpDty>	[0..1]	CodeSet		2355
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2356
	Fees <Fees>	[0..*]	±	C15	2356
	IndividualTax <IndvTax>	[0..*]	±		2357
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2358
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2359
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2359
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2360
	ClientReference <ClntRef>	[0..1]	±		2360

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

## 30.4.10 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 30.4.11 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation5"](#) on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## 30.4.12 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* [C15 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 31 **sese.008.001.09**

## **ReversalOfTransferInConfirmationV09**

### 31.1 **MessageDefinition Functionality**

#### Scope

The ReversalOfTransferInConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent transfer in confirmation.

#### Usage

The ReversalOfTransferInConfirmation message is used to reverse a previously sent transfer in confirmation.

To request the reversal of a transfer in confirmation, the transfer reference of the transfer in instruction, as specified in the original TransferInInstruction message, is specified in the transfer reference element. The executing party's reference for the execution of the transfer may also be specified in the TransferConfirmationReference element.

The message identification of the original TransferInConfirmation message may also be quoted in PreviousReference but this is not recommended.

#### Outline

The ReversalOfTransferInConfirmationV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. MasterReference  
Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.
- F. Function  
Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.
- G. ReversalReferences  
Reference of the transfer confirmation to be reversed.

H. MarketPracticeVersion

Identifies the market practice to which the message conforms.

I. CopyDetails

Information provided when the message is a copy of a previous message.

## 31.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RvslOfTrfInConf>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		396
	<b>PoolReference</b> <PoolRef>	[0..1]	±		396
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		396
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		396
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		397
	<b>Function</b> <Fctn>	[0..1]	CodeSet		397
	<b>ReversalReferences</b> <RvslRefs>	[1..*]			397
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		398
	<b>ClientReference</b> <ClntRef>	[0..1]	±		398
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		398
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		398
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		398
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		399
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		399
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		399

## 31.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 31.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 31.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 31.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 31.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 31.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.



**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 31.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 31.4.6 Function <Fctn>

*Presence:* [0..1]

*Definition:* Function of the transfer-in, that is, whether the message is used as a reversal of a previously sent confirmation or as a reversal of a previously sent advice. The absence of Function indicates the message is a reversal of a previously sent confirmation.

*Datatype:* "TransferInFunction2Code" on page 2513

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 31.4.7 ReversalReferences <RvslRefs>

*Presence:* [1..\*]

*Definition:* Reference of the transfer confirmation to be reversed.

**ReversalReferences <RvslRefs>** contains the following **TransferReference16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		398
	<b>ClientReference</b> <ClntRef>	[0..1]	±		398
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		398
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		398
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		398
	<b>ReversalReason</b> <RvslRsn>	[0..1]	Text		399

### 31.4.7.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction for which the confirmation reversal is sent, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 31.4.7.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 31.4.7.3 TransferConfirmationReference <TrfConfRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the transfer execution for which the confirmation reversal is sent, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

### 31.4.7.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 31.4.7.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the reversal as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

### 31.4.7.6 ReversalReason <RvslRsn>

*Presence:* [0..1]

*Definition:* Reason for the reversal of confirmation.

*Datatype:* "Max35Text" on page 2536

## 31.4.8 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 31.4.9 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation5" on page 1675 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C1	1675

## **32      sese.009.001.07**

# **RequestForTransferStatusReportV07**

### **32.1    MessageDefinition Functionality**

#### Scope

The RequestForTransferStatusReport is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent to request the status of a previously instructed transfer.

#### Usage

The RequestForTransferStatusReport is used to request either:

- the status of one or several transfer instructions or,
- the status of one or several transfer cancellation instructions.

#### Outline

The RequestForTransferStatusReportV07 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the transfer for which the status is requested.

C. MarketPracticeVersion

Identifies the market practice to which the message conforms.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 32.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForTrfStsRpt>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		402
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C6, C7	402
	<b>Reference</b> <Ref>	[0..1]			403
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		403
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		403
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		404
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		404
	<b>ClientReference</b> <ClntRef>	[0..1]	±		404
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		404
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C1, C2	404
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		405
	<b>Extension</b> <Xtnsn>	[0..*]	±	C5	406

## 32.3 Constraints

### C1 AccountIdentificationGuideline

It is recommended that AccountIdentification be used to identify an account.

### C2 AccountIdentificationRule

At least one occurrence of one message element in the list (OwnerIdentification, AccountIdentification, AccountName) must be present. If an element in the list is repetitive, more than one occurrence of this message element may be present. More than one message element in the list may be present.

### 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 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C6 OtherReferenceRule

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

### C7 PreviousReferenceRule

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

## 32.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 32.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 32.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the transfer for which the status is requested.

*Impacted by:* [C6 "OtherReferenceRule"](#), [C7 "PreviousReferenceRule"](#)

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]			403
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		403
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		403
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		404
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		404
	<b>ClientReference</b> <ClntRef>	[0..1]	±		404
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		404
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C1, C2	404

## Constraints

- **OtherReferenceRule**

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

- **PreviousReferenceRule**

If Reference/PreviousReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.012 or sese.014.

### 32.4.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously sent.

**Reference <Ref>** contains one of the following **References68Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]	±		403
Or}	<b>OtherReference</b> <OthrRef>	[1..1]	±		403

#### 32.4.2.1.1 PreviousReference <PrvsRef>

*Presence:* [1..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 32.4.2.1.2 OtherReference <OthrRef>

*Presence:* [1..1]

*Definition:* Reference to a linked message sent in a proprietary way or the reference of a system.

**OtherReference <OthrRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 32.4.2.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 32.4.2.3 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 32.4.2.4 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 32.4.2.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 32.4.2.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Investment account information of the transfer message for which the status is requested.

*Impacted by:* C1 "AccountIdentificationGuideline", C2 "AccountIdentificationRule"



**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount72" on page 1405 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1406
	AccountIdentification <AcctId>	[1..1]	Text		1406
	AccountName <AcctNm>	[0..1]	Text		1407
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1407
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1407
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1407
	DematerialisedIndicator <Dmtrlslnd>	[0..1]	Indicator		1408
	IncomePreference <IncmPref>	[0..1]	CodeSet		1408
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		1408
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1408
	AccountServicer <AcctSvcr>	[0..1]	±		1409
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1409

#### Constraints

- **AccountIdentificationGuideline**

It is recommended that AccountIdentification be used to identify an account.

- **AccountIdentificationRule**

At least one occurrence of one message element in the list (OwnerIdentification, AccountIdentification, AccountName) must be present. If an element in the list is repetitive, more than one occurrence of this message element may be present. More than one message element in the list may be present.

## 32.4.3 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 32.4.4      **Extension <Xtnsn>**

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C5 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### **Constraints**

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 33      **sese.010.001.07**

## **TransferCancellationStatusReportV07**

### **33.1    MessageDefinition Functionality**

#### Scope

The TransferCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received transfer cancellation instruction.

#### Usage

The TransferCancellationStatusReport message is used to report on the status of a transfer in or transfer out cancellation request.

The reference of the transfer instruction for which the cancellation status is reported is identified in TransferReference. The message identification of the transfer cancellation request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

The message identification of the transfer instruction request message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

One of the following statuses can be reported:

- the transfer cancellation is accepted, or,
- the transfer cancellation has been sent to the next party, or,
- the transfer cancellation is complete and the reason for the status,
- the transfer cancellation pending and the reason for the status,
- the transfer cancellation is rejected and the reason for the status.

#### Outline

The TransferCancellationStatusReportV07 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. CounterpartyReference  
Unambiguous identification of the transfer allocated by the counterparty.
- C. Reference  
Reference to the message or communication that was previously received.
- D. StatusReport  
Status of the transfer cancellation instruction.
- E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

#### F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 33.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <TrfCxlStsRpt>	[1..1]		C4, C5	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		409
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		409
	<b>Reference</b> <Ref>	[0..1]	±		410
	<b>StatusReport</b> <StsRpt>	[1..1]			410
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		410
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		410
	<b>ClientReference</b> <ClntRef>	[0..1]	±		411
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		411
	<b>Status</b> <Sts>	[1..1]			411
{Or	<b>Status</b> <Sts>	[1..1]	±		411
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		412
Or	<b>Complete</b> <Cmplt>	[1..1]	±		412
Or}	<b>Pending</b> <Pdg>	[1..1]	±		412
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		412
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		413
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	413

## 33.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 OtherReferenceRule

Reference/OtherReference should be used to reference a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, References/OtherReference/MessageName must contain, for example, 'fax' or 'phone' or 'email'.

*This constraint is defined at the MessageDefinition level.*

### C5 RelatedReferenceRule

If Reference/RelatedReference/MessageName is present, it must start with sese.002, sese.006, sese.009 or sese.014.

*This constraint is defined at the MessageDefinition level.*

## 33.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 33.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 33.4.2 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 33.4.3 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "References64Choice" on page 1347 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1347
Or}	OtherReference <OthrRef>	[1..2]	±		1348

### 33.4.4 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation instruction.

**StatusReport <StsRpt>** contains the following **CancellationStatusAndReason5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		410
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		410
	<b>ClientReference</b> <ClntRef>	[0..1]	±		411
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		411
	<b>Status</b> <Sts>	[1..1]			411
{Or	<b>Status</b> <Sts>	[1..1]	±		411
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		412
Or	<b>Complete</b> <Cmplt>	[1..1]	±		412
Or}	<b>Pending</b> <Pdg>	[1..1]	±		412
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		412

#### 33.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

#### 33.4.4.2 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 33.4.4.3 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 33.4.4.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

*Datatype:* "[Max35Text](#)" on page 2536

### 33.4.4.5 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation.

**Status <Sts>** contains one of the following **Status31Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Status</b> <Sts>	[1..1]	±		411
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		412
Or	<b>Complete</b> <Cmplt>	[1..1]	±		412
Or}	<b>Pending</b> <Pdg>	[1..1]	±		412

#### 33.4.4.5.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is accepted or sent to next party.

**Status <Sts>** contains the following elements (see "[TransferCancellationStatus3](#)" on page 2187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2187
	Reason <Rsn>	[0..1]	Text		2188

### 33.4.4.5.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is rejected.

**Rejected <Rjctd>** contains the following elements (see "[RejectionReason33](#)" on page 2408 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2408
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2409

### 33.4.4.5.3 Complete <Cmplt>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is complete. The cancellation instruction has been accepted and processed, the cancellation is complete.

**Complete <Cmplt>** contains the following elements (see "[CancelledCompleteReason1](#)" on page 2406 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2407

### 33.4.4.5.4 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is pending.

**Pending <Pdg>** contains the following elements (see "[TransferCancellationPendingStatus1](#)" on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		2394

### 33.4.4.6 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status.



**StatusInitiator <StsIntr>** contains the following elements (see ["PartyIdentification139"](#) on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

### 33.4.5 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 33.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## **34        sese.011.001.08**

# **TransferInstructionStatusReportV08**

### **34.1    MessageDefinition Functionality**

#### Scope

The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction.

It may also be used to report the status of an event related to the asset being transferred or provide additional information.

#### Usage

The TransferInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or one of its authorised representatives to provide the status of a previously received request for holdings information, portfolio transfer or transfer instruction. It may also be used to report the status of an event related to the asset being transferred or provide additional information.

The message identification of the transfer instruction message in which the transfer instruction was conveyed may also be quoted in RelatedReference.

One of the following statuses can be reported:

- an accepted status, or,
- an already executed status, or,
- a sent to next party status, or,
- a matched status, or,
- a settled status, or,
- a delayed status, or,
- a pending settlement status and the reason for the status, or,

- an unmatched status and the reason for the status, or,
- an in-repair status and the reason for the status, or,
- a rejected status and the reason for the status, or,
- a failed settlement status and the reason for the status, or,
- a cancelled status and the reason for the status, or,
- a cancelled status and the reason for the status, or,
- a cancellation pending status and the reason for the status.

#### Outline

The TransferInstructionStatusReportV08 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. CounterpartyReference

Unambiguous identification of the transfer allocated by the counterparty.

C. Reference

Reference to the message or communication that was previously received.

D. StatusReport

Status of the transfer instruction.

E. MarketPracticeVersion

Identifies the market practice to which the message conforms.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 34.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <TrfInstrStsRpt>	[1..1]		C14, C16	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		418
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		419
	<b>Reference</b> <Ref>	[0..1]	±		419
	<b>StatusReport</b> <StsRpt>	[1..1]			419
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		420
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		421
	<b>ClientReference</b> <ClntRef>	[0..1]	±		421
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		421
	<b>TransferEventType</b> <TrfEvtTp>	[0..*]	±		421
	<b>TransferStatus</b> <TrfSts>	[1..1]			421
{Or	<b>Status</b> <Sts>	[1..1]	±		422
Or	<b>PendingSettlement</b> <PdgSttlm>	[1..1]	±		422
Or	<b>Unmatched</b> <Umtchd>	[1..1]	±		422
Or	<b>InRepair</b> <InRpr>	[1..1]	±		423
Or	<b>Rejected</b> <Rjctd>	[1..10]	±	C15	423
Or	<b>FailedSettlement</b> <FaildSttlm>	[1..1]	±		424
Or	<b>Cancelled</b> <Canc>	[1..1]	±		424
Or	<b>Reversed</b> <Rvsd>	[1..1]	±		424
Or}	<b>CancellationPending</b> <CxlPdg>	[1..1]	±		425
	<b>TradeDate</b> <TradDt>	[0..1]	Date		425
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		425
	<b>SendOutDate</b> <SndOutDt>	[0..1]	Date		425
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		425
	<b>AveragePrice</b> <AvrgPric>	[0..1]	Amount	C2	425
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		426
	<b>TotalTransferValue</b> <TtlTrfVal>	[0..1]	Amount	C1	426
	<b>PaymentDetails</b> <PmtDtls>	[0..*]	±		427
	<b>BenefitCrystallisationEvent</b> <BnftCrstllstnEvt>	[0..*]	±		430

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DrawdownTranche</b> <DrwdwnTrch>	[0..*]	±	C5	430
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		432
	<b>StatusIssuer</b> <StsIssr>	[0..1]	±		432
	<b>StatusRecipient</b> <StsRcpt>	[0..1]	±		432
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		433
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	433

## 34.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C4 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C5 BeneficiaryDetailsRule

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

### C6 BICFI

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

### C7 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C8 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C13 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C14 OtherReferenceRule**

Reference/OtherReference should be used to reference a transfer instruction or a transfer cancellation request 'message' sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C15 OtherRule**

If Reason/Code/OTHE (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

**C16 RelatedReferenceRule**

If Reference/RelatedReference/MessageName is present, it must start with sese.001, sese.002, sese.005, sese.006, sese.009, sese.012 or sese.014.

*This constraint is defined at the MessageDefinition level.*

**C17 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 34.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 34.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 34.4.2 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 34.4.3 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References64Choice](#)" on page 1347 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1347
Or}	OtherReference <OthrRef>	[1..2]	±		1348

## 34.4.4 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the transfer instruction.

**StatusReport <StsRpt>** contains the following **TransferStatusAndReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		420
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		421
	<b>ClientReference</b> <ClntRef>	[0..1]	±		421
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		421
	<b>TransferEventType</b> <TrfEvtTp>	[0..*]	±		421
	<b>TransferStatus</b> <TrfSts>	[1..1]			421
{Or	<b>Status</b> <Sts>	[1..1]	±		422
Or	<b>PendingSettlement</b> <PdgSttlm>	[1..1]	±		422
Or	<b>Unmatched</b> <Umtchd>	[1..1]	±		422
Or	<b>InRepair</b> <InRpr>	[1..1]	±		423
Or	<b>Rejected</b> <Rjctd>	[1..10]	±	C15	423
Or	<b>FailedSettlement</b> <FaildSttlm>	[1..1]	±		424
Or	<b>Cancelled</b> <Canc>	[1..1]	±		424
Or	<b>Reversed</b> <Rvsd>	[1..1]	±		424
Or}	<b>CancellationPending</b> <CxlPdg>	[1..1]	±		425
	<b>TradeDate</b> <TradDt>	[0..1]	Date		425
	<b>SettlementDate</b> <SttlmDt>	[0..1]	Date		425
	<b>SendOutDate</b> <SndOutDt>	[0..1]	Date		425
	<b>TotalUnitsNumber</b> <TtlUnitsNb>	[0..1]	Quantity		425
	<b>AveragePrice</b> <AvrgPric>	[0..1]	Amount	C2	425
	<b>UnitsDetails</b> <UnitsDtls>	[0..*]	±		426
	<b>TotalTransferValue</b> <TtlTrfVal>	[0..1]	Amount	C1	426
	<b>PaymentDetails</b> <PmtDtls>	[0..*]	±		427
	<b>BenefitCrystallisationEvent</b> <BnftCrstllstnEvt>	[0..*]	±		430
	<b>DrawdownTranche</b> <DrwdwnTrch>	[0..*]	±	C5	430
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		432
	<b>StatusIssuer</b> <StsIssr>	[0..1]	±		432
	<b>StatusRecipient</b> <StsRcpt>	[0..1]	±		432

#### 34.4.4.1 MasterReference <MstrRef>

Presence: [0..1]



*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

#### 34.4.4.2 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the transfer, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 34.4.4.3 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <CIntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 34.4.4.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 34.4.4.5 TransferEventType <TrfEvtTp>

*Presence:* [0..\*]

*Definition:* Type of event for which the message is sent.

**TransferEventType <TrfEvtTp>** contains one of the following elements (see "TransferStatusType1Choice" on page 2397 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2397
Or}	Proprietary <Prtry>	[1..1]	±		2398

#### 34.4.4.6 TransferStatus <TrfSts>

*Presence:* [1..1]

*Definition:* Status of the transfer instruction.

**TransferStatus <TrfSts>** contains one of the following **TransferStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Status &lt;Sts&gt;</b>	[1..1]	±		422
Or	<b>PendingSettlement &lt;PdgSttlm&gt;</b>	[1..1]	±		422
Or	<b>Unmatched &lt;Umtchd&gt;</b>	[1..1]	±		422
Or	<b>InRepair &lt;InRpr&gt;</b>	[1..1]	±		423
Or	<b>Rejected &lt;Rjctd&gt;</b>	[1..10]	±	C15	423
Or	<b>FailedSettlement &lt;FaildSttlm&gt;</b>	[1..1]	±		424
Or	<b>Cancelled &lt;Canc&gt;</b>	[1..1]	±		424
Or	<b>Reversed &lt;Rvsd&gt;</b>	[1..1]	±		424
Or}	<b>CancellationPending &lt;CxlPdg&gt;</b>	[1..1]	±		425

#### 34.4.4.6.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer is received, accepted, sent to next party, matched, already executed, or settled.

**Status <Sts>** contains the following elements (see ["TransferInstructionStatus5"](#) on page 2189 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2190
	Reason <Rsn>	[0..1]	Text		2190

#### 34.4.4.6.2 PendingSettlement <PdgSttlm>

*Presence:* [1..1]

*Definition:* Status of the transfer is pending settlement.

**PendingSettlement <PdgSttlm>** contains one of the following elements (see ["PendingSettlementStatus3Choice"](#) on page 2404 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2404
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2406
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2406
Or}	NoSpecifiedReason <NoSpctfdRsn>	[1..1]	CodeSet		2406

#### 34.4.4.6.3 Unmatched <Umtchd>

*Presence:* [1..1]

*Definition:* Status of the transfer is unmatched.

**Unmatched <Umtchd>** contains one of the following elements (see "TransferUnmatchedStatus4Choice" on page 2188 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2188
Or	Reason <Rsn>	[1..1]	CodeSet		2188
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2189
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2189

#### 34.4.4.6.4 InRepair <InRpr>

*Presence:* [1..1]

*Definition:* Status of the transfer is in repair.

**InRepair <InRpr>** contains one of the following elements (see "InRepairStatus4Choice" on page 2403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2403
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2403
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2404

#### 34.4.4.6.5 Rejected <Rjctd>

*Presence:* [1..10]

*Definition:* Status of the transfer is rejected.

*Impacted by:* C15 "OtherRule"

**Rejected <Rjctd>** contains the following elements (see "RejectionReason50" on page 2394 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2394
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2397
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2397

## Constraints

- **OtherRule**

If Reason/Code/OTHE (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

### 34.4.4.6.6 FailedSettlement <FaildSttlm>

*Presence:* [1..1]

*Definition:* Status of the transfer is failed settlement, that is, settlement in the International Central Securities Depository (ICSD) or Central Securities Depository (CSD) failed.

**FailedSettlement <FaildSttlm>** contains one of the following elements (see "[FailedSettlementStatus2Choice](#)" on page 2402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2402
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2402
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2403

### 34.4.4.6.7 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the transfer is cancelled.

**Cancelled <Canc>** contains one of the following elements (see "[CancelledStatus13Choice](#)" on page 2401 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2401
Or	Reason <Rsn>	[1..1]	CodeSet		2401
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2402
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2402

### 34.4.4.6.8 Reversed <Rvsd>

*Presence:* [1..1]

*Definition:* Status of the transfer is reversed.

**Reversed <Rvsd>** contains one of the following elements (see "[ReversedStatus2Choice](#)" on page 2400 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2400
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2400
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2401

#### 34.4.4.6.9 CancellationPending <CxIPdg>

*Presence:* [1..1]

*Definition:* Status of the transfer is cancellation pending.

**CancellationPending <CxIPdg>** contains one of the following elements (see "CancellationPendingStatus7Choice" on page 2399 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2400
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2400
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2400

#### 34.4.4.7 TradeDate <TradDt>

*Presence:* [0..1]

*Definition:* Date on which the transfer was executed.

In some scenarios, this is the date and time to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 34.4.4.8 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date at which the securities are to be exchanged or were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 34.4.4.9 SendOutDate <SndOutDt>

*Presence:* [0..1]

*Definition:* Date on which the document, for example, the application form, was sent.

*Datatype:* "ISODate" on page 2521

#### 34.4.4.10 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Number of units to be transferred.

*Datatype:* "DecimalNumber" on page 2533

#### 34.4.4.11 AveragePrice <AvrgPric>

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account. The average price may also be known as the average acquisition price.

*Impacted by:* C2 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

## Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 34.4.4.12 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units to be transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1326
	OrderDate <OrdDt>	[0..1]	Date		1326
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1326
	CertificateNumber <CertNb>	[0..*]	Text		1327
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1327
	Reference <Ref>	[0..1]	Text		1327
	PriceDetails <PricDtls>	[0..1]	±		1327
	TransactionOverhead <TxOvrhd>	[0..1]		C31, C47	1328
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330
	OtherAmount <OthrAmt>	[0..*]			1331
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332

### 34.4.4.13 TotalTransferValue <TtlTrfVal>

*Presence:* [0..1]

*Definition:* Total transfer value.

*Impacted by:* C1 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### **34.4.4.14 PaymentDetails <PmtDtls>**

*Presence:* [0..\*]

*Definition:* Details of a payment that will result from or resulting from the liquation of an asset and transfer of cash or for the transfer of cash that was not invested.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument18" on page 1922 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1925
	Amount <Amt>	[1..1]	Amount	C2	1925
	PaymentDate <PmtDt>	[0..1]	Date		1925
	CashSettlementDetails <CshSttlmDtls>	[0..1]			1925
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			1928
	Debtor <Dbtr>	[0..1]	±		1930
	DebtorAccount <DbtrAcct>	[0..1]			1931
	Name <Nm>	[0..1]	Text		1931
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1931
	Other <Othr>	[0..1]	±		1931
	DebtorAgent <DbtrAgt>	[0..1]			1932
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1932
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1932
	NameAndAddress <NmAndAdr>	[0..1]	±		1933
	LEI <LEI>	[0..1]	IdentifierSet		1933
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1934
	BranchIdentification <BrnchId>	[0..1]	±		1934
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1934
	Name <Nm>	[0..1]	Text		1934
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1934
	Other <Othr>	[0..1]	±		1935
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1935
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1935
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1936
	NameAndAddress <NmAndAdr>	[0..1]	±		1937
	LEI <LEI>	[0..1]	IdentifierSet		1937
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1937
	BranchIdentification <BrnchId>	[0..1]	±		1937
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1937
	Name <Nm>	[0..1]	Text		1938



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1938
	Other <Othr>	[0..1]	±		1938
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1939
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1939
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1939
	NameAndAddress <NmAndAdr>	[0..1]	±		1940
	LEI <LEI>	[0..1]	IdentifierSet		1940
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1941
	BranchIdentification <BrnchId>	[0..1]	±		1941
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1941
	Name <Nm>	[0..1]	Text		1941
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1941
	Other <Othr>	[0..1]	±		1942
	CreditorAgent <CdtrAgt>	[1..1]			1942
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1942
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1943
	NameAndAddress <NmAndAdr>	[0..1]	±		1943
	LEI <LEI>	[0..1]	IdentifierSet		1944
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1944
	BranchIdentification <BrnchId>	[0..1]	±		1944
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1944
	Name <Nm>	[0..1]	Text		1945
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1945
	Other <Othr>	[0..1]	±		1945
	Creditor <Cdtr>	[0..1]	±		1945
	CreditorAccount <CdtrAcct>	[1..1]			1946
	Name <Nm>	[0..1]	Text		1946
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1946
	Other <Othr>	[0..1]	±		1946
Or}	ChequeDetails <ChqDtls>	[1..1]			1947
	Number <Nb>	[0..1]	Text		1947

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[0..1]	±		1947
	DraweeIdentification <Drweeld>	[0..1]			1948
	Party <Pty>	[1..1]			1948
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		1950
	LEI <LEI>	[0..1]	IdentifierSet		1950
	DrawerIdentification <Drwrld>	[0..1]	±		1951

#### 34.4.4.15 BenefitCrystallisationEvent <BnftCrstllstnEvt>

*Presence:* [0..\*]

*Definition:* Information about the realisation of benefits taken from a pension.

**BenefitCrystallisationEvent <BnftCrstllstnEvt>** contains the following elements (see "BenefitCrystallisationEvent2" on page 1581 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeName <EvtTpNb>	[0..1]	Text		1581
	EventTypeName <EvtTpNm>	[0..1]	Text		1581
	EventDate <EvtDt>	[0..1]	Date		1582
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C2	1582
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		1582
	LifetimeAllowanceProtection <LftmAllwncPrtn>	[0..1]	Indicator		1582
	AdditionalInformation <AddtlInf>	[0..*]	±		1582

#### 34.4.4.16 DrawdownTranche <DrwdwnTrch>

*Presence:* [0..\*]

*Definition:* Details of a drawdown tranche.

*Impacted by:* C5 "BeneficiaryDetailsRule"

**DrawdownTranche <DrwdwnTrch>** contains the following elements (see "Drawdown2" on page 1573 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1575
	TrancheType <TrchTp>	[1..1]	±		1575
	ApplicableRules <AplblRules>	[0..1]			1575
{Or	Code <Cd>	[1..1]	CodeSet		1575
Or}	Proprietary <Prtry>	[1..1]	±		1576
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1576
	Type <Tp>	[0..1]			1576
{Or	Code <Cd>	[1..1]	CodeSet		1576
Or}	Proprietary <Prtry>	[1..1]	±		1577
	Reference <Ref>	[1..1]	Text		1577
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		1577
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C2	1577
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		1577
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C2	1578
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		1578
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		1578
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		1578
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		1578
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1579
	CappedLimits <CapdLmts>	[0..1]			1579
	StartDate <StartDt>	[0..1]	Date		1579
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	1579
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	1580
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	1580
	AdditionalInformation <AddtlInf>	[0..*]	±		1580
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		1581
	AdditionalInformation <AddtlInf>	[0..*]	±		1581

## Constraints

- **BeneficiaryDetailsRule**

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

/RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

/BeneficiaryDetails Must be absent

### 34.4.4.17 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status.

**StatusInitiator <StsInitr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

### 34.4.4.18 StatusIssuer <StsIssr>

*Presence:* [0..1]

*Definition:* Party that issues the status message.

**StatusIssuer <StsIssr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

### 34.4.4.19 StatusRecipient <StsRcpt>

*Presence:* [0..1]

*Definition:* Party that receives the status message.

**StatusRecipient <StsRcpt>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

## 34.4.5 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 34.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 35 sese.012.001.10 PortfolioTransferInstructionV10

## 35.1 MessageDefinition Functionality

### Scope

The PortfolioTransferInstruction message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to instruct the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

### Usage

The PortfolioTransferInstruction message is used to instruct one or more portfolio transfers for one client. Each portfolio transfer is for delivery to the same account. The account may be owned by one or more individual investors or one or more corporate investors.

If the instructing party does not have enough information to instruct the portfolio transfer, then it must first send an AccountHoldingInformationRequest message to the executing party in order to receive an AccountHoldingInformation message.

### Outline

The PortfolioTransferInstructionV10 MessageDefinition is composed of 16 MessageBuildingBlocks:

#### A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.

#### E. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

#### F. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

#### G. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

#### H. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

I. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

J. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

K. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

L. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

M. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

N. ProductTransfer

Information about the portfolio and assets.

O. MarketPracticeVersion

Identifies the market practice to which the message conforms.

P. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 35.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfInstr>	[1..1]		C14, C15, C26, C27, C28	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		441
	<b>PoolReference</b> <PoolRef>	[0..1]	±		441
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		441
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		442
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C37	442
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C37	443
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C37	443
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		444
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		444
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		445
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		445
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		446
	<b>Transferee</b> <Trfee>	[1..1]	±		446
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			446
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		447
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		447
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[0..1]	Text		447
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		447
	<b>Portfolio</b> <Prtl>	[0..1]	±		448
	<b>AllOtherCash</b> <AllOthrCsh>	[0..*]	±		448
	<b>CashAll</b> <CshAll>	[0..*]	±		448
	<b>ResidualCash</b> <RsdnCsh>	[0..*]	±		448
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		449
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8, C9, C12, C13, C30	451
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		453



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		453
	<b>Extension</b> <Xtnsn>	[0..*]	±	C21	454

## 35.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C4 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C5 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C6 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C7 AssetLiquidatedCurrencyGuideline

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

### C8 AssetQuantity1Guideline

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

### C9 AssetQuantity2Guideline

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

**C10 BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

**C11 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C12 Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

**C13 Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

**C14 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

`/PrimaryCorporateInvestor is absent`

Following Must be True

`/SecondaryCorporateInvestor Must be absent`

*This constraint is defined at the MessageDefinition level.*

**C15 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

`/PrimaryCorporateInvestor is absent`

Following Must be True

`/OtherCorporateInvestor[*] Must be absent`

*This constraint is defined at the MessageDefinition level.*

**C16 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C17 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C18 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C19 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C20 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C21 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C22 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C23 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C24 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C25 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C26 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C27 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

#### **C28 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

#### **C29 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

#### **C30 PartialInstructedQuantityRule**

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0' (No), then Quantity maybe present.

#### **C31 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

#### **C32 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

#### **C33 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

#### **C34 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

#### **C35 SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### **C36 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C37 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C38 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C39 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C40 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

## 35.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 35.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 35.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 35.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 35.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 35.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C37 "SocialSecurityNumberGuideline"](#)

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see ["IndividualPerson8"](#) on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <Sc/SctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.6 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C37 "SocialSecurityNumberGuideline"](#)

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see ["IndividualPerson8" on page 2061](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.7 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* [C37 "SocialSecurityNumberGuideline"](#)

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <SciSctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 35.4.8 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

## 35.4.9 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.



**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 35.4.10 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 35.4.11 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 35.4.12 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 35.4.13 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification132](#)" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

### 35.4.14 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		447
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		447
	<b>TransferConfirmationIdentification</b> <TrfConflId>	[0..1]	Text		447
	<b>RequestedTransferDate</b> <ReqdTrfDt>	[0..1]	Date		447
	<b>Portfolio</b> <Prtf>	[0..1]	±		448
	<b>AllOtherCash</b> <AlIOthrCsh>	[0..*]	±		448
	<b>CashAll</b> <CshAll>	[0..*]	±		448
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		448
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		449
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8, C9, C12, C13, C30	451
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		453

#### 35.4.14.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

#### 35.4.14.2 TransferIdentification <TrfId>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2536

#### 35.4.14.3 TransferConfirmationIdentification <TrfConflId>

*Presence:* [0..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2536

#### 35.4.14.4 RequestedTransferDate <ReqdTrfDt>

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer of the portfolio as a whole.

*Datatype:* "ISODate" on page 2521

### 35.4.14.5 Portfolio <Prftl>

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prftl>** contains one of the following elements (see "[FundPortfolio6Choice](#)" on page 1276 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1276
Or	GeneralInvestment <GnllInvstmt>	[1..1]	±		1277
Or}	Pension <Pnsn>	[1..1]	±		1277

### 35.4.14.6 AllOtherCash <AllOthrCsh>

*Presence:* [0..\*]

*Definition:* Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

**AllOtherCash <AllOthrCsh>** contains the following elements (see "[AllOtherCash1](#)" on page 1674 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1675
	Currency <Ccy>	[0..1]	CodeSet	C2	1675

### 35.4.14.7 CashAll <CshAll>

*Presence:* [0..\*]

*Definition:* Specifies whether all assets in the portfolio are to be liquidated and transferred as cash.

**CashAll <CshAll>** contains the following elements (see "[CashAll1](#)" on page 1674 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1674
	Currency <Ccy>	[0..1]	CodeSet	C2	1674

### 35.4.14.8 ResidualCash <RsdICsh>

*Presence:* [0..\*]

*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with.

**ResidualCash <RsdICsh>** contains the following elements (see "ResidualCash2" on page 1672 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1673
	Currency <Ccy>	[0..1]	CodeSet	C2	1673

#### 35.4.14.9 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 1960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1962
	CreditTransferDetails <CdtTrfDtls>	[0..1]			1962
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

#### 35.4.14.10 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* C7 "AssetLiquidatedCurrencyGuideline", C8 "AssetQuantity1Guideline", C9 "AssetQuantity2Guideline", C12 "Conversion1Rule", C13 "Conversion2Rule", C30 "PartialInstructedQuantityRule"

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following elements (see "FinancialInstrument86" on page 1262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1264
	Instrument <Instrm>	[1..1]			1264
{Or	Security <Scty>	[1..1]	±	C26	1265
Or	CashAsset <CshAsst>	[1..1]	±	C24	1265
Or}	OtherAsset <OthrAsst>	[1..1]	±		1266
	Quantity <Qty>	[0..1]	±		1266
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		1266
	TransferType <TrfTp>	[1..1]	±	C40	1267
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		1267
	NotAvailable <NotAvlbl>	[0..1]	Indicator		1267
	Conversion <Convs>	[0..1]	±		1267
	UnitsDetails <UnitsDtls>	[0..*]	±		1268
	ClientReference <CIntRef>	[0..1]	±		1269
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1269
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1269
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C3, C12	1269
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	1270
	TotalBookValue <TtlBookVal>	[0..1]	±		1270
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1270
	Transferor <Trfr>	[0..1]	±		1271
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1271
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		1272
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1272
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		1272
	PaymentDetails <PmtDtls>	[0..1]	±		1272
	CrystallisationDetails <CrstlStnDtls>	[0..*]	±		1274
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1275
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1275
	AdditionalInformation <AddtlInf>	[0..*]	±		1276



**Constraints**

- **AssetLiquidatedCurrencyGuideline**

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

- **AssetQuantity1Guideline**

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **PartialInstructedQuantityRule**

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0' (No), then Quantity maybe present.

On Condition

/PartialInstructedQuantity is equal to value 'true'

Or /PartialInstructedQuantity is equal to value '1'

Following Must be True

/Quantity Must be present

### 35.4.14.11 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on [page 1288](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 35.4.15 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 35.4.16 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C21 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 36 sese.013.001.10 PortfolioTransferConfirmationV10

### 36.1 MessageDefinition Functionality

#### Scope

The PortfolioTransferConfirmation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party for example, a (new) plan manager (transferee), to confirm the transfer of financial instruments from the client's account at the old plan manager (transferor) to the clients account at the new plan manager (transferee).

#### Usage

The PortfolioTransferConfirmation message is used to confirm one or more portfolio transfers for one client.

The reference of each portfolio transfer confirmation is identified in TransferConfirmationIdentification. The reference of the original portfolio transfer as assigned by the instructing party is specified in TransferInstructionReference. The message identification of the PortfolioTransferInstruction message in which the portfolio transfers were conveyed may also be quoted in RelatedReference but this is not recommended.

#### Outline

The PortfolioTransferConfirmationV10 MessageDefinition is composed of 17 MessageBuildingBlocks:

- A. MessageReference  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. PrimaryIndividualInvestor  
Information identifying the primary individual investor, for example, name, address, social security number and date of birth.
- F. RegisteredHolder  
Official registered holder information.
- G. SecondaryIndividualInvestor  
Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.
- H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 36.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtflTrfConf>	[1..1]		C15, C16, C28, C29, C30	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		463
	<b>PoolReference</b> <PoolRef>	[0..1]	±		463
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		463
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		464
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C42	464
	<b>RegisteredHolder</b> <RegdHldr>	[0..1]	±	C42	465
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C42	465
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C42	466
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		467
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		467
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		468
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		468
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		469
	<b>Transferee</b> <Trfee>	[1..1]	±		469
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			469
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		470
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		470
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[1..1]	Text		470
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		470
	<b>Portfolio</b> <Prtfl>	[0..1]	±		471
	<b>AllOtherCash</b> <AlLOthrCsh>	[0..*]	±		471
	<b>CashAll</b> <CshAll>	[0..*]	±		471
	<b>ResidualCash</b> <RsdlCsh>	[0..*]	±		471
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		472
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		472
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8, C13,	474

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
				C14, C22	
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		476
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		476
	<b>Extension</b> <Xtnsn>	[0..*]	±	C23	477

## 36.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C4 AdditonalDetailsGuideline

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C5 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C6 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C7 AssetQuantity1Guideline

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

### C8 AssetQuantity2Guideline

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

**C9 BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

**C10 BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

**C11 BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

**C12 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C13 Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

**C14 Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

**C15 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C16 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C17 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C18 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C19 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C20 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C21 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C22 EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

**C23 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C24 HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**C25 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C26 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C27 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.



**C28 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C29 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C30 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C31 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C32 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C33 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C34 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C35 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C36 PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

**C37 RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

**C38 RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

**C39 RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

**C40 SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**C41 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C42 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C43 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C44 TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

**C45 TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

**C46 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C47 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C48 TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

## 36.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 36.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 36.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 36.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 36.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 36.4.5 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C42 "SocialSecurityNumberGuideline"](#)

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see ["IndividualPerson8"](#) on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <Sc/SctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.6 RegisteredHolder <RegdHldr>

*Presence:* [0..1]

*Definition:* Official registered holder information.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**RegisteredHolder <RegdHldr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C42 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 36.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

## 36.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 36.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 36.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).



**TransferorAccount <TrfrAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 36.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "[InvestmentAccount69](#)" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 36.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "[PartyIdentification132](#)" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

### 36.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		470
	<b>TransferInstructionReference</b> <TrfInstrRef>	[1..1]	Text		470
	<b>TransferConfirmationIdentification</b> <TrfConflId>	[1..1]	Text		470
	<b>ActualTransferDate</b> <ActlTrfDt>	[0..1]	Date		470
	<b>Portfolio</b> <Prftl>	[0..1]	±		471
	<b>AllOtherCash</b> <AlIOthrCsh>	[0..*]	±		471
	<b>CashAll</b> <CshAll>	[0..*]	±		471
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		471
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		472
	<b>PaymentDetails</b> <PmtDtls>	[0..1]	±		472
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8, C13, C14, C22	474
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		476

#### 36.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

#### 36.4.15.2 TransferInstructionReference <TrfInstrRef>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2536

#### 36.4.15.3 TransferConfirmationIdentification <TrfConflId>

*Presence:* [1..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2536

#### 36.4.15.4 ActualTransferDate <ActlTrfDt>

*Presence:* [0..1]

*Definition:* Date the portfolio transfer instruction was executed.

Datatype: "ISODate" on page 2521

### 36.4.15.5 Portfolio <Prftl>

Presence: [0..1]

Definition: Choice of tax efficient product, general investment or pension.

**Portfolio <Prftl>** contains one of the following elements (see "FundPortfolio5Choice" on page 1227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1227
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		1229
Or}	Pension <Pnsn>	[1..1]	±	C10, C11, C36, C37, C38, C39, C44, C45, C48	1230

### 36.4.15.6 AllOtherCash <AllOthrCsh>

Presence: [0..\*]

Definition: Specifies whether all remaining assets in the portfolio not listed for transfer should be liquidated and transferred as cash.

**AllOtherCash <AllOthrCsh>** contains the following elements (see "AllOtherCash1" on page 1674 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1675
	Currency <Ccy>	[0..1]	CodeSet	C2	1675

### 36.4.15.7 CashAll <CshAll>

Presence: [0..\*]

Definition: Specifies whether all assets in the portfolio should be liquidated and transferred as cash.

**CashAll <CshAll>** contains the following elements (see "CashAll1" on page 1674 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1674
	Currency <Ccy>	[0..1]	CodeSet	C2	1674

### 36.4.15.8 ResidualCash <RsdICsh>

Presence: [0..\*]

*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with

**ResidualCash <RsdICsh>** contains the following elements (see "ResidualCash2" on page 1672 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1673
	Currency <Ccy>	[0..1]	CodeSet	C2	1673

### 36.4.15.9 TaxDate <TaxDt>

*Presence:* [0..1]

*Definition:* Tax date applicable to all the assets.

*Datatype:* "ISODate" on page 2521

### 36.4.15.10 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 1960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1962
	CreditTransferDetails <CdtTrfDtls>	[0..1]			1962
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

### 36.4.15.11 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* C7 "AssetQuantity1Guideline", C8 "AssetQuantity2Guideline", C13 "Conversion1Rule", C14 "Conversion2Rule", C22 "EffectiveDatesGuideline"

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following elements (see "FinancialInstrument83" on page 1247 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1249
	Instrument <Instrm>	[1..1]			1249
{Or	Security <Scty>	[1..1]	±	C26	1250
Or	CashAsset <CshAsst>	[1..1]	±	C24	1250
Or}	OtherAsset <OthrAsst>	[1..1]	±		1250
	Quantity <Qty>	[0..1]	±		1251
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		1251
	OriginalPercentageInstructed <OrgnlPctgInstd>	[0..1]	Rate		1251
	TransferType <TrfTp>	[1..1]	±	C40	1252
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		1252
	NotAvailable <NotAvlbl>	[0..1]	Indicator		1252
	Conversion <Convs>	[0..1]	±		1252
	UnitsDetails <UnitsDtls>	[0..*]	±		1253
	ClientReference <ClntRef>	[0..1]	±		1254
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1254
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1254
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C10	1254
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	1255
	TotalBookValue <TtlBookVal>	[0..1]	±		1255
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	1255
	LatestValuation <LatstValtn>	[0..1]	±		1256
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1256
	Transferor <Trfr>	[0..1]	±		1256
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1257
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1257
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		1257
	EffectiveTransferDate <FctvTrfDt>	[0..1]	±		1257
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		1258
	PaymentDetails <PmtDtls>	[0..1]	±		1258
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		1260

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1261
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1261
	AdditionalInformation <AddtlInf>	[0..*]	±		1262

#### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

### 36.4.15.12 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 36.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.



**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 36.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C23 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 37      **sese.014.001.09**

## **PortfolioTransferCancellationRequestV09**

### **37.1    MessageDefinition Functionality**

#### Scope

The PortfolioTransferCancellationRequest message is sent by, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent PortfolioTransferInstruction message.

#### Usage

The PortfolioTransferCancellationRequest message is used to request the cancellation of a portfolio transfer instruction.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a portfolio transfer instruction, the transfer reference of the portfolio transfer, as specified in the original PortfolioTransferInstruction message, is specified in the transfer reference element.

The message identification of the original PortfolioTransferInstruction message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a PortfolioTransferCancellationRequest is made using an TransferCancellationStatusReport message.

#### Outline

The PortfolioTransferCancellationRequestV09 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. MasterReference

Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

F. TransferReferences

Reference of the portfolio transfer instruction to be cancelled.

G. MarketPracticeVersion

Identifies the market practice to which the message conforms.

## 37.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <PrtlTrfCxlReq>	[1..1]			
	<b>MessageReference</b> <MsgRef>	[1..1]	±		480
	<b>PoolReference</b> <PoolRef>	[0..1]	±		480
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		480
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		480
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		481
	<b>TransferReferences</b> <TrfRefs>	[1..1]			481
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		481
	<b>ClientReference</b> <ClntRef>	[0..1]	±		481
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		482
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		482
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		482
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		482
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		482

## 37.3 Constraints

**C1 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

**C2 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 37.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

## 37.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 37.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

## 37.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 37.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 37.4.5 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

## 37.4.6 TransferReferences <TrfRefs>

*Presence:* [1..1]

*Definition:* Reference of the portfolio transfer instruction to be cancelled.

**TransferReferences <TrfRefs>** contains the following **TransferReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransferReference</b> <TrfRef>	[1..1]	Text		481
	<b>ClientReference</b> <ClntRef>	[0..1]	±		481
	<b>CounterpartyReference</b> <CtrPtyRef>	[0..1]	±		482
	<b>TransferConfirmationReference</b> <TrfConfRef>	[0..1]	Text		482
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		482
	<b>CancellationReason</b> <CxlRsn>	[0..1]	Text		482

### 37.4.6.1 TransferReference <TrfRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 37.4.6.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the portfolio transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 37.4.6.3 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the portfolio transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 37.4.6.4 TransferConfirmationReference <TrfConfRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

### 37.4.6.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the portfolio transfer cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 37.4.6.6 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

*Datatype:* "Max35Text" on page 2536

## 37.4.7 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 38 sese.018.001.08 AccountHoldingInformationV08

### 38.1 MessageDefinition Functionality

#### Scope

The AccountHoldingInformation message is sent by an executing party, for example, a (old) plan manager (transferor), to the instructing party, for example, a (new) plan manager (transferee), to provide information about financial instruments held on behalf of a client.

#### Usage

The AccountHoldingInformation message is used to provide information on the individual assets held in a client's account. The assets may be part of a tax efficient product, a pension or general investment product.

#### Outline

The AccountHoldingInformationV08 MessageDefinition is composed of 17 MessageBuildingBlocks:

- A. MessageReference  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. BusinessFlowDirectionType  
Business flow direction (assets to be delivered or received).
- F. PrimaryIndividualInvestor  
Information identifying the primary individual investor, for example, name, address, social security number and date of birth.
- G. SecondaryIndividualInvestor  
Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.
- H. OtherIndividualInvestor  
Information identifying the other individual investors, for example, name, address, social security number and date of birth.
- I. PrimaryCorporateInvestor  
Information identifying the primary corporate investor, for example, name and address.
- J. SecondaryCorporateInvestor



Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that can not be captured in the structured fields and/or any other specific block.

## 38.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctHldgInf>	[1..1]		C12, C13, C22, C23, C24	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		491
	<b>PoolReference</b> <PoolRef>	[0..1]	±		491
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		492
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		492
	<b>BusinessFlowDirectionType</b> <BizFlowDrctnTp>	[0..1]	CodeSet		492
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C35	492
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C35	493
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C35	494
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		494
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		495
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		495
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		496
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		496
	<b>Transferee</b> <Trfee>	[1..1]	±		497
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			497
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		498
	<b>TransferIdentification</b> <TrfId>	[1..1]	Text		498
	<b>TransferConfirmationIdentification</b> <TrfConfId>	[0..1]	Text		498
	<b>Portfolio</b> <Prtl>	[0..1]	±		498
	<b>PartialDiscovery</b> <PrtlDscvry>	[0..1]	Indicator		499
	<b>ResidualCash</b> <RsdlCsh>	[0..*]	±		499
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		499
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8	499
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		500
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		501
	<b>Extension</b> <Xtnsn>	[0..*]	±	C19	501

## 38.3 Constraints

### C1 **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C4 **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

### C5 **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

### C6 **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C7 **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

### C8 **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

### C9 **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

### C10 **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

### C11 **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## **C12 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

## **C13 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

## **C14 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## **C15 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

## **C16 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

## **C17 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C18 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C19 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C20 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C21 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C22 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/SecondaryIndividualInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C23 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

On Condition

/PrimaryIndividualInvestor is absent

Following Must be True

/OtherIndividualInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C24 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C25 NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C26 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C27 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C28 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C29 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C30 PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

**C31 RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

**C32 RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

**C33 RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

**C34 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C35 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C36 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

**C37 TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

**C38 TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

**C39 TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**C40 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C41 TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

## 38.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 38.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 38.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference11](#)" on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

### 38.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 38.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 38.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

*Presence:* [0..1]

*Definition:* Business flow direction (assets to be delivered or received).

*Datatype:* ["BusinessFlowDirectionType1Code"](#) on page 2419

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

### 38.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C35 "SocialSecurityNumberGuideline"](#)



**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScItyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* C35 "SocialSecurityNumberGuideline"

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScItyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C35 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "[IndividualPerson8](#)" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScISctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

**Constraints**

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 38.4.9 PrimaryCorporateInvestor <PmryCorplInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 38.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 38.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 38.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "InvestmentAccount69" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 38.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "InvestmentAccount69" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 38.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

### 38.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		498
	<b>TransferIdentification</b> <Trfld>	[1..1]	Text		498
	<b>TransferConfirmationIdentification</b> <TrfConfld>	[0..1]	Text		498
	<b>Portfolio</b> <Prftl>	[0..1]	±		498
	<b>PartialDiscovery</b> <PrtlDscvry>	[0..1]	Indicator		499
	<b>ResidualCash</b> <RsdICsh>	[0..*]	±		499
	<b>TaxDate</b> <TaxDt>	[0..1]	Date		499
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±	C7, C8	499
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		500

#### 38.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

#### 38.4.15.2 TransferIdentification <Trfld>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2536

#### 38.4.15.3 TransferConfirmationIdentification <TrfConfld>

*Presence:* [0..1]

*Definition:* Identification of the confirmation assigned by the transferor to the transfer.

*Datatype:* "Max35Text" on page 2536

#### 38.4.15.4 Portfolio <Prftl>

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prtf>** contains one of the following elements (see ["FundPortfolio5Choice"](#) on page 1227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1227
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		1229
Or}	Pension <Pnsn>	[1..1]	±	C10, C11, C36, C37, C38, C39, C44, C45, C48	1230

### 38.4.15.5 PartialDiscovery <PrtlDscvry>

*Presence:* [0..1]

*Definition:* Indicates that not all the assets in the holding/portfolio are specified and that some other kind of other communication is required.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 38.4.15.6 ResidualCash <RsdICsh>

*Presence:* [0..\*]

*Definition:* Specifies whether there is cash in the account awaiting investment and the currency.

**ResidualCash <RsdICsh>** contains the following elements (see ["ResidualCash1"](#) on page 1673 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		1673
	Currency <Ccy>	[0..1]	CodeSet	C2	1673

### 38.4.15.7 TaxDate <TaxDt>

*Presence:* [0..1]

*Definition:* Tax date applicable to all the assets.

*Datatype:* ["ISODate"](#) on page 2521

### 38.4.15.8 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

*Impacted by:* [C7 "AssetQuantity1Guideline"](#), [C8 "AssetQuantity2Guideline"](#)

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following elements (see "FinancialInstrument85" on page 1238 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1239
	Instrument <Instrm>	[1..1]			1239
{Or	Security <Scty>	[1..1]	±	C20	1240
Or	CashAsset <CshAsst>	[1..1]	±		1240
Or}	OtherAsset <OthrAsst>	[1..1]	±		1241
	Quantity <Qty>	[0..1]	±		1241
	UnitsDetails <UnitsDtls>	[0..*]	±		1242
	ClientReference <ClntRef>	[0..1]	±		1242
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1243
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1243
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C3, C12	1243
	TotalBookValue <TtlBookVal>	[0..1]	±		1244
	LatestValuation <LatstValtn>	[0..1]	±		1244
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1244
	Transferor <Trfr>	[0..*]	±		1245
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1245
	CrystallisationDetails <CrstllstnDtls>	[0..*]	±		1246
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1246
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..*]	±		1247
	AdditionalInformation <AddtlInf>	[0..*]	±		1247

#### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

#### 38.4.15.9 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.



**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 38.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see ["MarketPracticeVersion1"](#) on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 38.4.17 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that can not be captured in the structured fields and/or any other specific block.

*Impacted by:* C19 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 39      **sese.019.001.07**

## **AccountHoldingInformationRequestV07**

### **39.1    MessageDefinition Functionality**

#### Scope

The AccountHoldingInformationRequest message is sent by an instructing party, for example, a (new) plan manager (transferee), to the executing party, for example, a (old) plan manager (transferor), on behalf of the initiating party, for example, an investor (client), to request information about financial instruments held on behalf of the client.

#### Usage

The AccountHoldingInformationRequest message is used to request information about assets held on behalf of the client for which it intends to instruct a portfolio transfer at a later time.

#### Outline

The AccountHoldingInformationRequestV07 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. MessageReference

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BusinessFlowDirectionType

Business flow direction (assets to be delivered or received).

F. PrimaryIndividualInvestor

Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

G. SecondaryIndividualInvestor

Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

H. OtherIndividualInvestor

Information identifying the other individual investors, for example, name, address, social security number and date of birth.

I. PrimaryCorporateInvestor

Information identifying the primary corporate investor, for example, name and address.

J. SecondaryCorporateInvestor

Information identifying the secondary corporate investor, for example, name and address.

K. OtherCorporateInvestor

Information identifying the other corporate investors, for example, name and address.

L. TransferorAccount

Identification of the account owned by the investor at the old plan manager (account servicer).

M. NomineeAccount

Account held in the name of a party that is not the name of the beneficial owner of the shares.

N. Transferee

Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

O. ProductTransfer

Information about the portfolio and assets.

P. MarketPracticeVersion

Identifies the market practice to which the message conforms.

Q. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 39.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <AcctHldgInfReq>	[1..1]		C7, C8, C14, C15, C16	
	<b>MessageReference</b> <MsgRef>	[1..1]	±		507
	<b>PoolReference</b> <PoolRef>	[0..1]	±		508
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		508
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		508
	<b>BusinessFlowDirectionType</b> <BizFlowDrctnTp>	[0..1]	CodeSet		508
	<b>PrimaryIndividualInvestor</b> <PmryIndvInvstr>	[0..1]	±	C22	509
	<b>SecondaryIndividualInvestor</b> <ScndryIndvInvstr>	[0..1]	±	C22	509
	<b>OtherIndividualInvestor</b> <OthrIndvInvstr>	[0..*]	±	C22	510
	<b>PrimaryCorporateInvestor</b> <PmryCorplInvstr>	[0..1]	±		511
	<b>SecondaryCorporateInvestor</b> <ScndryCorplInvstr>	[0..1]	±		511
	<b>OtherCorporateInvestor</b> <OthrCorplInvstr>	[0..*]	±		512
	<b>TransferorAccount</b> <TrfrAcct>	[1..1]	±		512
	<b>NomineeAccount</b> <NmneeAcct>	[0..1]	±		513
	<b>Transferee</b> <Trfee>	[1..1]	±		513
	<b>ProductTransfer</b> <PdctTrf>	[1..*]			513
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		514
	<b>TransferIdentification</b> <Trfld>	[1..1]	Text		514
	<b>Portfolio</b> <Prttl>	[0..1]	±		514
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±		514
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		515
	<b>MarketPracticeVersion</b> <MktPrctcVrsn>	[0..1]	±		515
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	516

## 39.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C2 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C3 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C4 AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

**C6 BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C7 Corporate1Rule**

If PrimaryCorporateInvestor is not present, then SecondaryCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then SecondaryCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/SecondaryCorporateInvestor Must be absent

*This constraint is defined at the MessageDefinition level.*

**C8 Corporate2Rule**

If PrimaryCorporateInvestor is not present, then OtherCorporateInvestor is not allowed.

If PrimaryCorporateInvestor is present, then OtherCorporateInvestor may be present.

On Condition

/PrimaryCorporateInvestor is absent

Following Must be True

/OtherCorporateInvestor[\*] Must be absent

*This constraint is defined at the MessageDefinition level.*

**C9 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## **C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

## **C11 DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## **C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## **C13 IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

## **C14 Investor1Rule**

If PrimaryIndividualInvestor is not present, then SecondaryIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then SecondaryIndividualInvestor may be present.

```
On Condition
    /PrimaryIndividualInvestor is absent
Following Must be True
    /SecondaryIndividualInvestor Must be absent
```

*This constraint is defined at the MessageDefinition level.*

## **C15 Investor2Rule**

If PrimaryIndividualInvestor is not present, then OtherIndividualInvestor is not allowed.

If PrimaryIndividualInvestor is present, then OtherIndividualInvestor may be present.

```
On Condition
    /PrimaryIndividualInvestor is absent
Following Must be True
    /OtherIndividualInvestor[*] Must be absent
```

*This constraint is defined at the MessageDefinition level.*

**C16 NomineeAccountServicerRule**

NomineeAccount/Servicer must be present when and only when different from TransferorAccount/Servicer.

*This constraint is defined at the MessageDefinition level.*

**C17 Party2PresenceRule**

If Party2 is present, then Party1 must be present.

**C18 Party3PresenceRule**

If Party3 is present, then Party2 must be present.

**C19 Party4PresenceRule**

If Party4 is present, then Party3 must be present.

**C20 Party5PresenceRule**

If Party5 is present, then Party4 must be present.

**C21 SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

**C22 SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

**C23 SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

## 39.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 39.4.1 MessageReference <MsgRef>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageReference <MsgRef>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 39.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference11"](#) on page 1348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	ReferenceIssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

## 39.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 39.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

## 39.4.5 BusinessFlowDirectionType <BizFlowDrctnTp>

*Presence:* [0..1]

*Definition:* Business flow direction (assets to be delivered or received).

*Datatype:* ["BusinessFlowDirectionType1Code"](#) on page 2419



CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

## 39.4.6 PrimaryIndividualInvestor <PmryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C22 "SocialSecurityNumberGuideline"](#)

**PrimaryIndividualInvestor <PmryIndvInvstr>** contains the following elements (see ["IndividualPerson8" on page 2061](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <Sc/SctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.7 SecondaryIndividualInvestor <ScndryIndvInvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary individual investor, for example, name, address, social security number and date of birth.

*Impacted by:* [C22 "SocialSecurityNumberGuideline"](#)

**SecondaryIndividualInvestor <ScndryIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.8 OtherIndividualInvestor <OthrIndvInvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other individual investors, for example, name, address, social security number and date of birth.

*Impacted by:* C22 "SocialSecurityNumberGuideline"

**OtherIndividualInvestor <OthrIndvInvstr>** contains the following elements (see "IndividualPerson8" on page 2061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScIScTyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

## Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

## 39.4.9 PrimaryCorporateInvestor <PmryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the primary corporate investor, for example, name and address.

**PrimaryCorporateInvestor <PmryCorplnvstr>** contains the following elements (see "[Organisation36](#)" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

## 39.4.10 SecondaryCorporateInvestor <ScndryCorplnvstr>

*Presence:* [0..1]

*Definition:* Information identifying the secondary corporate investor, for example, name and address.

**SecondaryCorporateInvestor <ScndryCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 39.4.11 OtherCorporateInvestor <OthrCorplnvstr>

*Presence:* [0..\*]

*Definition:* Information identifying the other corporate investors, for example, name and address.

**OtherCorporateInvestor <OthrCorplnvstr>** contains the following elements (see "Organisation36" on page 1765 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

### 39.4.12 TransferorAccount <TrfrAcct>

*Presence:* [1..1]

*Definition:* Identification of the account owned by the investor at the old plan manager (account servicer).

**TransferorAccount <TrfrAcct>** contains the following elements (see "InvestmentAccount69" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 39.4.13 NomineeAccount <NmneeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of a party that is not the name of the beneficial owner of the shares.

**NomineeAccount <NmneeAcct>** contains the following elements (see "InvestmentAccount69" on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

### 39.4.14 Transferee <Trfee>

*Presence:* [1..1]

*Definition:* Identification of the institution to which the financial instrument is to be transferred. This may also be known as the new plan manager.

**Transferee <Trfee>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

### 39.4.15 ProductTransfer <PdctTrf>

*Presence:* [1..\*]

*Definition:* Information about the portfolio and assets.

**ProductTransfer <PdctTrf>** contains the following **PortfolioTransfer6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		514
	<b>TransferIdentification</b> <Trfld>	[1..1]	Text		514
	<b>Portfolio</b> <Prftl>	[0..1]	±		514
	<b>FinancialInstrumentAssetForTransfer</b> <FinInstrmAsstForTrf>	[0..*]	±		514
	<b>AdditionalInformation</b> <AddtlInf>	[0..*]	±		515

### 39.4.15.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual transfers as assigned by the instructing party. This identifier links the individual transfers together.

*Datatype:* "Max35Text" on page 2536

### 39.4.15.2 TransferIdentification <Trfld>

*Presence:* [1..1]

*Definition:* Identification assigned to the transfer of assets.

*Datatype:* "Max35Text" on page 2536

### 39.4.15.3 Portfolio <Prftl>

*Presence:* [0..1]

*Definition:* Choice of tax efficient product, general investment or pension.

**Portfolio <Prftl>** contains one of the following elements (see "FundPortfolio4Choice" on page 1226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>TaxEfficientProduct</b> <TaxEffcntPdct>	[1..1]	±		1226
Or	<b>GeneralInvestment</b> <GnlInvstmt>	[1..1]	±		1226
Or}	<b>Pension</b> <Pnsn>	[1..1]	±		1226

### 39.4.15.4 FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>

*Presence:* [0..\*]

*Definition:* Asset to be transferred.

**FinancialInstrumentAssetForTransfer <FinInstrmAsstForTrf>** contains the following elements (see "FinancialInstrument84" on page 1233 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1234
	Instrument <Instrm>	[1..1]			1234
{Or	Security <Scty>	[1..1]	±	C26	1234
Or	CashAsset <CshAsst>	[1..1]	±		1235
Or}	OtherAsset <OthrAsst>	[1..1]	±		1235
	ClientReference <CIntRef>	[0..1]	±		1236
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1236
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1236
	Transferor <Trfr>	[0..1]	±		1237
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1237
	AdditionalInformation <AddtlInf>	[0..*]	±		1238

### 39.4.15.5 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the product transfer.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 39.4.16 MarketPracticeVersion <MktPrctcVrsn>

*Presence:* [0..1]

*Definition:* Identifies the market practice to which the message conforms.

**MarketPracticeVersion <MktPrctcVrsn>** contains the following elements (see "MarketPracticeVersion1" on page 1734 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

## 39.4.17      **Extension <Xtnsn>**

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C12 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



## 40 setr.001.001.04 RedemptionBulkOrderV04

### 40.1 MessageDefinition Functionality

#### Scope

The RedemptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a redemption from a financial instrument for two or more accounts.

#### Usage

The RedemptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. The RedemptionBulkOrder can result in one single bulk cash settlement or several individual cash settlements.

This message will be typically used by a party collecting orders, that is, a concentrator, bulking these individual orders into one bulk order before sending it to an executing party.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for different financial instruments but for the same account, then the RedemptionOrder must be used.

#### Outline

The RedemptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. BulkOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 40.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrd>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		522
	<b>PoolReference</b> <PoolRef>	[0..1]	±		522
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		523
	<b>BulkOrderDetails</b> <BlkOrdDtls>	[1..1]		C7, C27, C29	523
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		525
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		526
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		526
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		526
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		526
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		526
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	527
	<b>IndividualOrderDetails</b> <IndvOrdDtls>	[1..*]		C21, C23, C24	527
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		529
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		529
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	529
	<b>OrderType</b> <OrdTp>	[0..10]	±		530
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	530
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			531
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		531
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	531
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	532
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		532
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		532
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	533
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		533
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		533
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		534

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		534
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		534
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	535
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		535
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	535
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		536
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		537
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		539
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		539
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		539
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		540
	<b>StaffClientBreakdown</b> <StffClntBrkwn>	[0..4]	±		541
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		541
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		541
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	541
	<b>Equalisation</b> <Equlstn>	[0..1]	±		542
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		542
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		542
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		543
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	543
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	543
	<b>RequestedNAVCurrency</b> <ReqdNAVCCy>	[0..1]	CodeSet	C4	544
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	544
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		544
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		546
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	546

## 40.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C7 BulkCashSettlementDetailsRule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 40.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 40.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 40.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 40.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 40.4.4 BulkOrderDetails <BlkOrdDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C27 "RequestedSettlementCurrencyRule"](#), [C29 "SettlementCurrencyRule"](#)

**BulkOrderDetails <BlkOrdrDtls>** contains the following **RedemptionBulkOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		525
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		526
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		526
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		526
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		526
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		526
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	527
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C21, C23, C24	527
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		529
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		529
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	529
	<b>OrderType</b> <OrdrTp>	[0..10]	±		530
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	530
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			531
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		531
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	531
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	532
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		532
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		532
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	533
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		533
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		533
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		534
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		534
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		534
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	535
	<b>CommercialAgreementReference</b> <ComrcIAgmtRef>	[0..1]	Text		535
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	535



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		536
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		537
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		539
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		539
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		539
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		540
	<b>StaffClientBreakdown</b> <StffCIntBrkdown>	[0..4]	±		541
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		541
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		541
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	541
	<b>Equalisation</b> <Equlstn>	[0..1]	±		542
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		542
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		542
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		543
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C32	543
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	543
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	544
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	544
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		544

#### Constraints

- **BulkCashSettlementDetailsRule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 40.4.4.1 MasterReference <MstrRef>

Presence: [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 40.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 40.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 40.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 40.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 40.4.4.6 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see ["CancellationRight1Choice"](#) on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 40.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* C18 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see ["FinancialInstrument57"](#) on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 40.4.4.8 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Instruction from an investor to sell investment fund units back to the fund.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule"

**IndividualOrderDetails** <IndvOrdrDtls> contains the following **RedemptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		529
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		529
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	529
	<b>OrderType</b> <OrdrTp>	[0..10]	±		530
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	530
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			531
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		531
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	531
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	532
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		532
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		532
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	533
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		533
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		533
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		534
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		534
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		534
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	535
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		535
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	535
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		536
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		537
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		539
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		539
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		539
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		540
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		541
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		541
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		541
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	541

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Equalisation</b> <Equlstn>	[0..1]	±		542
	<b>CustomerConductClassification</b> <CstmrCndctClsfctn>	[0..1]	±		542
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		542
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		543
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	543

### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 40.4.4.8.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 40.4.4.8.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 40.4.4.8.3 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 40.4.4.8.4 OrderType <OrdrTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 40.4.4.8.5 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtIs>** contains the following elements (see "IndividualPerson32" on page 2058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer </Issr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 40.4.4.8.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units or percentage to be redeemed for the redemption order.

**AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>** contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		531
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	531
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	532
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		532

##### 40.4.4.8.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "DecimalNumber" on page 2533

##### 40.4.4.8.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 40.4.4.8.6.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 40.4.4.8.6.4 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2534

#### 40.4.4.8.7 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.



*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 40.4.4.8.8 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 40.4.4.8.9 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 40.4.4.8.10 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

**40.4.4.8.11 ForeignExchangeDetails <FXDtIs>***Presence:* [0..1]*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

**40.4.4.8.12 IncomePreference <IncmPref>***Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

**40.4.4.8.13 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 40.4.4.8.14 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		535
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	535
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		536

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

##### 40.4.4.8.14.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

##### 40.4.4.8.14.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 40.4.4.8.14.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 40.4.4.8.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 40.4.4.8.16 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 40.4.4.8.17 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 40.4.4.8.18 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <Acctld>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### 40.4.4.8.19 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]



*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 40.4.4.8.20 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 40.4.4.8.21 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 40.4.4.8.22 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 40.4.4.8.23 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

Impacted by: C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

#### Constraints

- OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 40.4.4.8.24 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 40.4.4.8.25 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 40.4.4.8.26 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 40.4.4.8.27 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 40.4.4.8.28 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C32 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 40.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 40.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 40.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 40.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <PyeeId>	[1..1]	±		1919
	DraweeIdentification <DrweeId>	[0..1]	±		1919
	DrawerIdentification <DrwrId>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <PyeeId>	[1..1]	±		1920
	DraweeIdentification <DrweeId>	[0..1]	±		1920
	DrawerIdentification <DrwrId>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

## 40.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation4"](#) on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 40.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 41      **setr.002.001.04**

## **RedemptionBulkOrderCancellationRequestV04**

### 41.1      **MessageDefinition Functionality**

#### Scope

The RedemptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionBulkOrder.

#### Usage

The RedemptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionBulkOrder message is specified in the order reference element. The message identification of the RedemptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The RedemptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences  
Identification of the individual order to be cancelled.
- F. CopyDetails

Information provided when the message is a copy of a previous message.

## 41.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdxCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		548
	<b>PoolReference</b> <PoolRef>	[0..1]	±		549
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		549
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		549
	<b>OrderReferences</b> <OrdRefs>	[1..*]			549
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		550
	<b>ClientReference</b> <CintRef>	[0..1]	Text		550
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		550
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		550
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		550

## 41.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 41.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 41.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.



**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 41.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 41.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 41.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "[Max35Text](#)" on page 2536

## 41.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		550
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		550
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		550
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		550

#### 41.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 41.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 41.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 41.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

### 41.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 42      **setr.003.001.04** **RedemptionBulkOrderConfirmationV04**

### 42.1    **MessageDefinition Functionality**

#### Scope

The RedemptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionBulkOrder message.

#### Usage

The RedemptionBulkOrderConfirmation message is used to confirm the execution of all individual orders included in a previously sent RedemptionBulkOrder message.

There is usually one bulk confirmation message for one bulk order message.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the RedemptionBulkOrder message in which the individual order was conveyed may also be quoted in RelatedReference, but this is not recommended.

A RedemptionBulkOrder must in all cases be responded to by a RedemptionBulkOrderConfirmation and in no circumstances by a RedemptionOrderConfirmation.

If the executing party needs to confirm a RedemptionOrder instruction, then the RedemptionOrderConfirmation must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

#### Outline

The RedemptionBulkOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. BulkExecutionDetails  
General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 42.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		559
	<b>PoolReference</b> <PoolRef>	[0..1]	±		559
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		559
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		560
	<b>BulkExecutionDetails</b> <BlkExctnDtls>	[1..1]		C8, C29, C31	560
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		563
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		563
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		563
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		564
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		564
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		564
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		564
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	564
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	565
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		568
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		568
	<b>DealReference</b> <DealRef>	[1..1]	Text		568
	<b>OrderType</b> <OrdrTp>	[0..10]	±		568
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	568
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		569
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		569
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	569
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	570
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		570
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	570
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		571
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	571

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		572
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		572
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		572
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		572
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		573
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		573
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		573
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		574
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		574
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		575
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		575
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	575
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	576
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	576
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	577
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		577
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	577
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		578
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	579
	<b>StaffClientBreakdown</b> <StffClntrBrkdw>	[0..4]	±		581
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		581
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		583
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		583
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		583
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		584
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		585
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		585
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	585
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		585
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		586
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		586

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	586
	<b>Equalisation</b> <Equlstrn>	[0..1]	±		587
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		587
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		587
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		587
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	588
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		588
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	589
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	589
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	589
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		590
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		592
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	592

## 42.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.



**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of BulkExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

### C32 TaxElementRule

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

### C33 TransactionOverheadElementRule

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

### C34 WaiverElementRule

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 42.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 42.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 42.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 42.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 42.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 42.4.5 BulkExecutionDetails <BlkExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C29 "RequestedSettlementCurrencyRule", C31 "SettlementCurrencyRule"

**BulkExecutionDetails <BlkExctnDtls>** contains the following **RedemptionBulkExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		563
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		563
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		563
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		564
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		564
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		564
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		564
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	564
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	565
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		568
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		568
	<b>DealReference</b> <DealRef>	[1..1]	Text		568
	<b>OrderType</b> <OrdrTp>	[0..10]	±		568
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	568
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		569
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		569
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	569
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	570
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		570
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	570
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		571
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	571
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		572
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		572
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		572
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		572
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		573
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		573
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		573

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		574
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		574
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		575
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		575
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	575
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	576
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	576
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	577
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		577
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	577
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		578
	<b>InformativeTaxDetails</b> <InfvtvTaxDtls>	[0..1]	±	C32	579
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		581
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		581
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		583
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		583
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		583
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		584
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		585
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		585
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	585
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		585
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		586
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		586
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	586
	<b>Equalisation</b> <Equlstn>	[0..1]	±		587
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		587
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		587
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		587

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C34	588
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		588
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	589
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	589
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	589
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		590

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

#### 42.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 42.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 42.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 42.4.5.4 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 42.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2522

#### 42.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 42.4.5.7 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 42.4.5.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the investment fund order execution is related.



Impacted by: C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 42.4.5.9 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a redemption order.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule"

**IndividualExecutionDetails <IndvExctnDtls>** contains the following **RedemptionExecution16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		568
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		568
	<b>DealReference</b> <DealRef>	[1..1]	Text		568
	<b>OrderType</b> <OrdTp>	[0..10]	±		568
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	568
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		569
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		569
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	569
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	570
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		570
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	570
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		571
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	571
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		572
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		572
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		572
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		572
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		573
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		573
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		573
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		574
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		574
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		575
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		575
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	575
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	576
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	576
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	577
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		577
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	577

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		578
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	579
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		581
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		581
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		583
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		583
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		583
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		584
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		585
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		585
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	585
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		585
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		586
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		586
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	586
	<b>Equalisation</b> <Equlstr>	[0..1]	±		587
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		587
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		587
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		587
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C34	588
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		588

#### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition  
     /PhysicalDeliveryIndicator is equal to value 'true'  
 Or     /PhysicalDeliveryIndicator is equal to value '1'  
 Following Must be True  
     /PhysicalDeliveryDetails Must be present

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

#### 42.4.5.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 42.4.5.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 42.4.5.9.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 42.4.5.9.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 42.4.5.9.5 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtIs>** contains the following elements (see "IndividualPerson32" on page 2058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer </Issr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 42.4.5.9.6 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment funds units redeemed.

*Datatype:* "DecimalNumber" on page 2533

#### 42.4.5.9.7 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 42.4.5.9.8 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**42.4.5.9.9 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**42.4.5.9.10 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2534

**42.4.5.9.11 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 42.4.5.9.12 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 42.4.5.9.13 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 42.4.5.9.14 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 42.4.5.9.15 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

#### 42.4.5.9.16 DealingPriceDetails <DealgPricDtls>

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 42.4.5.9.17 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.



**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 42.4.5.9.18 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 42.4.5.9.19 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2419

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 42.4.5.9.20 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 42.4.5.9.21 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 42.4.5.9.22 ForeignExchangeDetails <FXDtIs>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see ["ForeignExchangeTerms33"](#) on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

#### 42.4.5.9.23 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference1Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 42.4.5.9.24 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* ["UKTaxGroupUnit1Code"](#) on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 42.4.5.9.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLAResourceRule"](#), [C33 "TransactionOverheadElementRule"](#)

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	576
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	576
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	577
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		577
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	577
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		578

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 42.4.5.9.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 42.4.5.9.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 42.4.5.9.25.3 TotalTaxes <TtITaxes>

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 42.4.5.9.25.4 CommercialAgreementReference <ComrcIAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 42.4.5.9.25.5 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApldRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 42.4.5.9.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApIdRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 42.4.5.9.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310



**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**42.4.5.9.27 StaffClientBreakdown <StffCIntBrkdwn>**

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

**42.4.5.9.28 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 42.4.5.9.29 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 42.4.5.9.30 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 42.4.5.9.31 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <PyeeId>	[1..1]	±		1919
	DraweeIdentification <DrweeId>	[0..1]	±		1919
	DrawerIdentification <DrwrId>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <PyeeId>	[1..1]	±		1920
	DraweeIdentification <DrweeId>	[0..1]	±		1920
	DrawerIdentification <DrwrId>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### 42.4.5.9.32 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### **42.4.5.9.33 PartialSettlementOfUnits <PrtlSttlmOfUnits>**

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2534

#### **42.4.5.9.34 PartialSettlementOfCash <PrtlSttlmOfCsh>**

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2534

#### **42.4.5.9.35 PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>**

*Presence:* [0..1]

*Definition:* Amount retained by the fund and paid out later at a time decided by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **42.4.5.9.36 FinancialAdvice <FinAdv>**

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 42.4.5.9.37 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 42.4.5.9.38 LateReport <LateRpt>

*Presence:* [0..1]

*Definition:* Specifies whether the order execution confirmation is late.

*Datatype:* "LateReport1Code" on page 2465

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

#### 42.4.5.9.39 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

## Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

### 42.4.5.9.40 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

**Equalisation <Equlstn>** contains the following elements (see "[Equalisation1](#)" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

### 42.4.5.9.41 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

### 42.4.5.9.42 TransactionChannelType <TxChanITp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

### 42.4.5.9.43 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 42.4.5.9.44 OrderWaiverDetails <OrdrWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C34 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 42.4.5.9.45 GatingOrHoldBackDetails <GtgOrHldBckDtls>

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see "HoldBackInformation2" on page 1649 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1649
	Amount <Amt>	[0..1]	Amount	C2, C10	1649
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1650
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1650
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1651
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1651
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1651



#### 42.4.5.10 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 42.4.5.11 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 42.4.5.12 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **42.4.5.13 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <PyeeId>	[1..1]	±		1919
	DraweeIdentification <DrweeId>	[0..1]	±		1919
	DrawerIdentification <DrwrId>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <PyeeId>	[1..1]	±		1920
	DraweeIdentification <DrweeId>	[0..1]	±		1920
	DrawerIdentification <DrwrId>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

## 42.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation4"](#) on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 42.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 43 setr.004.001.04 RedemptionOrderV04

### 43.1 MessageDefinition Functionality

#### Scope

The RedemptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the redemption of one or more financial instruments for one investment fund account.

#### Usage

The RedemptionOrder message is used to instruct single redemption orders, that is, a message containing one order for one financial instrument and related to one investment account. The RedemptionOrder message may also be used for multiple orders, that is, a message containing several orders related to the same investment account for different financial instruments.

For a single redemption order, the RedemptionOrder message, not the RedemptionBulkOrder message, must be used.

If there are redemption orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the RedemptionBulkOrder message must be used.

#### Outline

The RedemptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MultipleOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 43.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdr>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		598
	<b>PoolReference</b> <PoolRef>	[0..1]	±		599
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		599
	<b>MultipleOrderDetails</b> <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	599
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		602
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		602
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		602
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		602
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		602
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		603
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	603
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	603
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	604
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		606
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		606
	<b>OrderType</b> <OrdrTp>	[0..10]	±		607
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	607
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		608
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			608
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		608
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	608
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	609
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		609
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		609
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	610
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		610
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		610

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		610
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		611
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		611
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	612
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		612
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	612
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		613
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		614
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		616
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		616
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	616
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	616
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		617
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		618
	<b>StaffClientBreakdown</b> <StffClntBrkwn>	[0..4]	±		619
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		619
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		619
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	619
	<b>Equalisation</b> <Equlstn>	[0..1]	±		620
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		620
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		620
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		621
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C33	621
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		621
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	622
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		623
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	623

## 43.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C7 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.



**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C33 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 43.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 43.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 43.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 43.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 43.4.4 MultipleOrderDetails <MltplOrdrDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#), [C29 "SettlementCurrencyRule"](#), [C32 "TotalSettlementCurrencyRule"](#)

**MultipleOrderDetails <MltplOrdrDtls>** contains the following **RedemptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		602
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		602
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		602
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		602
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		602
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		603
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	603
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	603
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	604
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		606
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		606
	<b>OrderType</b> <OrdrTp>	[0..10]	±		607
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	607
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		608
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			608
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		608
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	608
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	609
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		609
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		609
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	610
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		610
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		610
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		610
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		611
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		611
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	612
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		612

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	612
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		613
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		614
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		616
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		616
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	616
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	616
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		617
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		618
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		619
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		619
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		619
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	619
	<b>Equalisation</b> <Equlstn>	[0..1]	±		620
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		620
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		620
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		621
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	621
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		621
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	622

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 43.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 43.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 43.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 43.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 43.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 43.4.4.6 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "[CancellationRight1Choice](#)" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 43.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* [C20 "OrderOriginatorEligibility2Rule"](#)

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "[InvestmentAccount58](#)" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 43.4.4.8 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* [C22 "PersonElementRule"](#)

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson32" on page 2058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer </ssr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 43.4.4.9 IndividualOrderDetails <IndvOrdRDtls>

*Presence:* [1..\*]

*Definition:* Instruction from an investor to sell investment fund units back to the fund.

*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule", C27 "RequestedSettlementCurrencyRule"



**IndividualOrderDetails <IndvOrdrDtls>** contains the following **RedemptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		606
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		606
	<b>OrderType</b> <OrdrTp>	[0..10]	±		607
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	607
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		608
	<b>AmountOrUnitsOrPercentage</b> <AmtOrUnitsOrPctg>	[1..1]			608
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		608
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	608
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	609
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		609
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		609
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	610
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		610
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		610
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		610
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		611
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		611
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	612
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		612
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	612
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		613
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		614
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		616
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		616
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	616
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	616
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		617
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		618
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		619
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		619

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		619
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	619
	<b>Equalisation</b> <Equlstn>	[0..1]	±		620
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		620
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		620
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		621
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C33	621

#### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/  
attribute::Currency

#### 43.4.4.9.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 43.4.4.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

Datatype: "Max35Text" on page 2536

#### 43.4.4.9.3 OrderType <OrdrTp>

Presence: [0..10]

Definition: Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 43.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

Presence: [1..1]

Definition: Investment fund class related to the order.

Impacted by: C18 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 43.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

*Presence:* [0..1]

*Definition:* Subdivision of the account used to segregate specific holdings.

**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "[SubAccount6](#)" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

#### 43.4.4.9.6 AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units or percentage to be redeemed for the redemption order.

**AmountOrUnitsOrPercentage <AmtOrUnitsOrPctg>** contains one of the following **FinancialInstrumentQuantity28Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		608
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	608
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	609
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		609

##### 43.4.4.9.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "[DecimalNumber](#)" on page 2533

##### 43.4.4.9.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**43.4.4.9.6.3 NetAmount <NetAmt>**

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**43.4.4.9.6.4 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2534

**43.4.4.9.7 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**43.4.4.9.8 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**43.4.4.9.9 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

**43.4.4.9.10 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**43.4.4.9.11 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

## EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

## EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

## 43.4.4.9.12 IncomePreference &lt;IncmPref&gt;

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

## 43.4.4.9.13 Group1Or2Units &lt;Grp1Or2Units&gt;

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.

CodeName	Name	Definition
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 43.4.4.9.14 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		612
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	612
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		613

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 43.4.4.9.14.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 43.4.4.9.14.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"



**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 43.4.4.9.14.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 43.4.4.9.15 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 43.4.4.9.16 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 43.4.4.9.17 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 43.4.4.9.18 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 43.4.4.9.19 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**43.4.4.9.20 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <Acctld>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### 43.4.4.9.21 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 43.4.4.9.22 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 43.4.4.9.23 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 43.4.4.9.24 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 43.4.4.9.25 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

Impacted by: C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 43.4.4.9.26 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 43.4.4.9.27 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 43.4.4.9.28 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]



*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 43.4.4.9.29 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 43.4.4.9.30 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C33 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 43.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtIs>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <Acctld>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### 43.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

Presence: [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

## 43.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 43.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 44      **setr.005.001.04**

# **RedemptionOrderCancellationRequestV04**

### 44.1    **MessageDefinition Functionality**

#### Scope

The RedemptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent RedemptionOrder.

#### Usage

The RedemptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original RedemptionOrder message in the order reference element. The message identification of the RedemptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a RedemptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The RedemptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences  
Identification of the individual order to be cancelled.
- F. CopyDetails  
Information provided when the message is a copy of a previous message.

## 44.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdrCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		625
	<b>PoolReference</b> <PoolRef>	[0..1]	±		626
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		626
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		626
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			626
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		627
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		627
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		627
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		627
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		627

## 44.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 44.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 44.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 44.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 44.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 44.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2536

## 44.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		627
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		627
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		627
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		627

#### 44.4.5.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 44.4.5.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 44.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 44.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

### 44.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

# 45 setr.006.001.04 RedemptionOrderConfirmationV04

## 45.1 MessageDefinition Functionality

### Scope

The RedemptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of execution for a previously received RedemptionOrder message.

### Usage

The RedemptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A RedemptionOrder message containing more than one individual order may be responded to by more than one RedemptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a RedemptionOrderConfirmation message contains fewer confirmations than originally instructed in the original RedemptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the RedemptionOrder message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

A RedemptionOrder must in all cases be responded to by a RedemptionOrderConfirmation message and in no circumstances by a RedemptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more redemption orders for the same financial instrument then a RedemptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

### Outline

The RedemptionOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.



E. MultipleExecutionDetails

General information related to the execution of investment fund orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 45.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedOrdRConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		635
	<b>PoolReference</b> <PoolRef>	[0..1]	±		635
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		636
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		636
	<b>MultipleExecutionDetails</b> <MltplExctnDtls>	[1..1]		C8, C21, C31, C33	636
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		639
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		639
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		640
	<b>OrderDateTime</b> <OrdRdtTm>	[0..1]	DateTime		640
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		640
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		640
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		640
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	641
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	641
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	642
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		645
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		645
	<b>DealReference</b> <DealRef>	[1..1]	Text		645
	<b>OrderType</b> <OrdRtp>	[0..10]	±		645
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	646
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		646
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		647
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		647
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	647
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	647
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		648

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		648
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		648
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		649
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	649
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		650
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		650
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		650
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		650
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		651
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		651
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		651
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		652
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		652
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	652
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	653
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	653
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	654
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		654
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	654
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		655
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	656
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		658
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		660
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		660
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	660
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	660
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		661
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		662
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		663
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		663
	<b>StaffClientBreakdown</b> <StffClntrBrkwn>	[0..4]	±		663

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	663
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		664
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		664
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		664
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	664
	<b>Equalisation</b> <Equlstn>	[0..1]	±		665
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		665
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		665
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		666
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C35	666
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		666
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	667
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		667
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		669
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	669

## 45.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C32 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C33 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

**C34 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C35 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 45.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 45.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 45.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 45.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 45.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 45.4.5 MultipleExecutionDetails <MltplExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of investment fund orders.

*Impacted by:* [C8 "BulkCashSettlementDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#), [C31 "SettlementCurrencyRule"](#), [C33 "TotalSettlementCurrencyRule"](#)



**MultipleExecutionDetails <MltplExctnDtls>** contains the following **RedemptionMultipleExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		639
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		639
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		640
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		640
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		640
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		640
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		640
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	641
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	641
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	642
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		645
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		645
	<b>DealReference</b> <DealRef>	[1..1]	Text		645
	<b>OrderType</b> <OrdrTp>	[0..10]	±		645
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	646
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		646
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		647
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		647
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	647
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	647
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		648
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		648
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		648
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		649
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	649
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		650
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		650
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		650
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		650

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		651
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		651
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		651
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		652
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		652
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	652
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	653
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	653
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	654
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		654
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	654
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		655
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	656
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		658
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		660
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		660
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	660
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	660
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		661
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		662
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		663
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		663
	<b>StaffClientBreakdown</b> <StffClntBrkdn>	[0..4]	±		663
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	663
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		664
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		664
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		664
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	664
	<b>Equalisation</b> <Equlstn>	[0..1]	±		665

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		665
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		665
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		666
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C35	666
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		666
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	667
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		667

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualExecutionDetails/SettlementAmount, must be the same in all occurrences of IndividualExecutionDetails.

#### 45.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 45.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "[Max35Text](#)" on page 2536

### 45.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

### 45.4.5.4 OrderDateTime <OrdDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

### 45.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2522

### 45.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

### 45.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 45.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

##### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 45.4.5.9 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtIs>** contains the following elements (see "IndividualPerson32" on page 2058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer </ssr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 45.4.5.10 IndividualExecutionDetails <IndvExctnDtIs>

*Presence:* [1..\*]

*Definition:* Execution of a redemption order.

*Impacted by:* C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule", C29 "RequestedSettlementCurrencyRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **RedemptionExecution15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		645
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		645
	<b>DealReference</b> <DealRef>	[1..1]	Text		645
	<b>OrderType</b> <OrdrTp>	[0..10]	±		645
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	646
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		646
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		647
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		647
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	647
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	647
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		648
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		648
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		648
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		649
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	649
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		650
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		650
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		650
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		650
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		651
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		651
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		651
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		652
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		652
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	652
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	653
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	653
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	654
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		654
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	654

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		655
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	656
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		658
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		660
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		660
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	660
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	660
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		661
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		662
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		663
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		663
	<b>StaffClientBreakdown</b> <StffClntrBrkdw>	[0..4]	±		663
	<b>PartialRedemptionWithholdingAmount</b> <PrtlRedWhldgAmt>	[0..1]	Amount	C3, C10	663
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		664
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		664
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		664
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	664
	<b>Equalisation</b> <Equlstn>	[0..1]	±		665
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		665
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		665
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		666
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C35	666
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		666

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.



```

On Condition
  /PhysicalDeliveryIndicator is equal to value 'true'
Or
  /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
  /PhysicalDeliveryDetails Must be present

```

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

```

On Condition
  /RequestedSettlementCurrency is present
And
  /SettlementAmount is present
Following Must be True
  /RequestedSettlementCurrency Must be equal to /SettlementAmount/
attribute::Currency

```

#### 45.4.5.10.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 45.4.5.10.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 45.4.5.10.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 45.4.5.10.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

**45.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>***Presence:* [1..1]*Definition:* Investment fund class to which the investment fund order execution is related.*Impacted by:* C17 "IdentificationGuideline"**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**45.4.5.10.6 SubAccountForHolding <SubAcctForHldg>***Presence:* [0..1]*Definition:* Subdivision of the account used to segregate specific holdings.**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "SubAccount6" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

**45.4.5.10.7 UnitsNumber <UnitsNb>**

*Presence:* [1..1]

*Definition:* Number of investment funds units redeemed.

*Datatype:* "DecimalNumber" on page 2533

**45.4.5.10.8 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**45.4.5.10.9 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**45.4.5.10.10 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**45.4.5.10.11 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2534

**45.4.5.10.12 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**45.4.5.10.13 DealingPriceDetails <DealgPricDtls>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 45.4.5.10.14 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 45.4.5.10.15 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 45.4.5.10.16 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 45.4.5.10.17 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

#### 45.4.5.10.18 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 45.4.5.10.19 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2419

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 45.4.5.10.20 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 45.4.5.10.21 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 45.4.5.10.22 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms33](#)" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

#### 45.4.5.10.23 IncomePreference <IncMPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 45.4.5.10.24 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "[UKTaxGroupUnit1Code](#)" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 45.4.5.10.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLAResourceRule"](#), [C34 "TransactionOverheadElementRule"](#)



**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	653
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	653
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	654
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		654
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	654
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		655

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 45.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 45.4.5.10.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**45.4.5.10.25.3 TotalTaxes <TtITaxs>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**45.4.5.10.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**45.4.5.10.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApldRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 45.4.5.10.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApldRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 45.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**45.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 45.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 45.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 45.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 45.4.5.10.31 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)



*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**45.4.5.10.32 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <PyeeId>	[1..1]	±		1919
	DraweeIdentification <DrweeId>	[0..1]	±		1919
	DrawerIdentification <DrwrId>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <PyeeId>	[1..1]	±		1920
	DraweeIdentification <DrweeId>	[0..1]	±		1920
	DrawerIdentification <DrwrId>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### 45.4.5.10.33 NonStandardSettlementInformation <NonStdSttlmInf>

Presence: [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 45.4.5.10.34 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 45.4.5.10.35 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 45.4.5.10.36 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 45.4.5.10.37 PartialRedemptionWithholdingAmount <PrtlRedWhldgAmt>

*Presence:* [0..1]

*Definition:* Amount retained by the fund and paid out later at a time decided by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**45.4.5.10.38 FinancialAdvice <FinAdv<***Presence:* [0..1]*Definition:* Specifies if advice has been received from an independent financial advisor.*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**45.4.5.10.39 NegotiatedTrade <NgtdTrad<***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**45.4.5.10.40 LateReport <LateRpt<***Presence:* [0..1]*Definition:* Specifies whether the order execution confirmation is late.*Datatype:* "LateReport1Code" on page 2465

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**45.4.5.10.41 RelatedPartyDetails <RltdPtyDtls<***Presence:* [0..10]*Definition:* Party related to the transaction.*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 45.4.5.10.42 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 45.4.5.10.43 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 45.4.5.10.44 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 45.4.5.10.45 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 45.4.5.10.46 OrderWaiverDetails <OrdrWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C35 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 45.4.5.10.47 GatingOrHoldBackDetails <GtgOrHldBckDtls>

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see "HoldBackInformation2" on page 1649 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1649
	Amount <Amt>	[0..1]	Amount	C2, C10	1649
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1650
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1650
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1651
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1651
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1651

#### 45.4.5.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 45.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction72" on page 1913 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <Acctld>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921



## 45.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see ["CopyInformation4"](#) on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 45.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 46 setr.007.001.04 SubscriptionBulkOrderV04

### 46.1 MessageDefinition Functionality

#### Scope

The SubscriptionBulkOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a subscription to a financial instrument for two or more accounts.

#### Usage

The SubscriptionBulkOrder message is used to bulk several individual orders into one bulk order. The individual orders come from different instructing parties, that is, account owners, but are for the same financial instrument. This message will typically be used by a party collecting orders and bulking these individual orders into one bulk order before sending it to another party.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

#### Outline

The SubscriptionBulkOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. BulkOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 46.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrd>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		675
	<b>PoolReference</b> <PoolRef>	[0..1]	±		675
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		676
	<b>BulkOrderDetails</b> <BlkOrdDtls>	[1..1]		C7, C27, C29	676
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		679
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		679
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		679
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		679
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		679
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		680
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	680
	<b>IndividualOrderDetails</b> <IndvOrdDtls>	[1..*]		C21, C23, C24	680
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		683
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		683
	<b>OrderType</b> <OrdTp>	[0..10]	±		683
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			684
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		684
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	684
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	685
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		685
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	685
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		686
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		686
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		686
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	686
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	687
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		688

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		688
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		689
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	689
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		689
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	689
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		690
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		691
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		693
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		693
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		693
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		695
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		695
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		695
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		696
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	696
	<b>Equalisation</b> <Equlstn>	[0..1]	±		696
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		697
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		697
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		697
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		697
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	698
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	698
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	698
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	699
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		699
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		701
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	701

## 46.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

**C2 AccountIdentificationRule**

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkOrderDetails/IndividualOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

**C3 ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C7 BulkCashSettlementDetails3Rule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C8 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrency2Rule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 46.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 46.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 46.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 46.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 46.4.4 BulkOrderDetails <BlkOrdDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetails3Rule"](#), [C27 "RequestedSettlementCurrencyRule"](#), [C29 "SettlementCurrency2Rule"](#)



**BulkOrderDetails <BlkOrdrDtls>** contains the following **SubscriptionBulkOrder5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		679
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		679
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		679
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		679
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		679
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		680
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	680
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C21, C23, C24	680
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		683
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		683
	<b>OrderType</b> <OrdrTp>	[0..10]	±		683
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			684
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		684
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	684
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	685
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		685
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	685
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		686
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		686
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		686
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	686
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	687
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		688
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		688
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		689
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	689
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		689
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	689

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		690
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		691
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		693
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		693
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		693
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		695
	<b>StaffClientBreakdown</b> <StffCIntBrkdown>	[0..4]	±		695
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		695
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		696
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	696
	<b>Equalisation</b> <Equlstn>	[0..1]	±		696
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		697
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		697
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		697
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		697
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	698
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	698
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	698
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	699
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		699

#### Constraints

- **BulkCashSettlementDetails3Rule**

Either IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualOrderDetails/SettlementAmount, if present.

- **SettlementCurrency2Rule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 46.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 46.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 46.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 46.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 46.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 46.4.4.6 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "[CancellationRight1Choice](#)" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 46.4.4.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* [C18 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "[FinancialInstrument57](#)" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

##### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 46.4.4.8 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Order to invest the investor's principal in an investment fund.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule"

**IndividualOrderDetails <IndvOrdrDtls>** contains the following **SubscriptionOrder15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		683
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		683
	<b>OrderType</b> <OrdrTp>	[0..10]	±		683
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			684
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		684
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	684
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	685
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		685
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	685
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		686
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		686
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		686
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	686
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	687
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		688
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		688
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		689
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	689
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		689
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	689
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		690
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		691
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		693
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		693
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		693
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		695
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		695
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		695
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		696
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	696

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Equalisation</b> <Equlstn>	[0..1]	±		696
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		697
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		697
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		697
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		697
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	698

### Constraints

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 46.4.4.8.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 46.4.4.8.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 46.4.4.8.3 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 46.4.4.8.4 AmountOrUnits <AmtOrUnits>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units for the subscription order.

**AmountOrUnits <AmtOrUnits>** contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		684
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	684
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	685

##### 46.4.4.8.4.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "[DecimalNumber](#)" on page 2533

##### 46.4.4.8.4.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C4 "[ActiveOrHistoricCurrency](#)", C9 "[CurrencyAmount](#)"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.



**46.4.4.8.4.3 NetAmount <NetAmt>***Presence:* [1..1]*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**46.4.4.8.5 Rounding <Rndg>***Presence:* [0..1]*Definition:* Indicates the rounding direction applied to nearest unit.*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**46.4.4.8.6 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 46.4.4.8.7 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 46.4.4.8.8 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### 46.4.4.8.9 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 46.4.4.8.10 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 46.4.4.8.11 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2055
	BirthDate <BirthDt>	[0..1]	Date		2055
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2055
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2056
	OtherIdentification <OthrId>	[0..*]			2056
	Identification <Id>	[1..1]	Text		2056
	IdentificationType <IdTp>	[1..1]			2056
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057
	Issuer </ssr>	[0..1]	Text		2058

**Constraints**

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**46.4.4.8.12 ForeignExchangeDetails <FXDtIs>**

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

**EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

**EXAMPLE 2**

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

**46.4.4.8.13 LetterIntentReference <LtrInttRef>**

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2536

**46.4.4.8.14 AccumulationRightReference <AcmltnRghtRef>**

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

**46.4.4.8.15 TransactionOverhead <TxOvrhd>**

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the net amount.

*Impacted by:* C16 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		689
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	689
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		690

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**46.4.4.8.15.1 CommercialAgreementReference <ComrcAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**46.4.4.8.15.2 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 46.4.4.8.15.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 46.4.4.8.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 46.4.4.8.17 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 46.4.4.8.18 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

#### 46.4.4.8.19 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 46.4.4.8.20 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 46.4.4.8.21 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 46.4.4.8.22 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.

CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 46.4.4.8.23 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 46.4.4.8.24 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 46.4.4.8.25 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 46.4.4.8.26 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see ["SourceOfCash1Choice"](#) on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 46.4.4.8.27 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see ["CustomerConductClassification1Choice"](#) on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 46.4.4.8.28 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see ["TransactionChannelType1Choice"](#) on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 46.4.4.8.29 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 46.4.4.8.30 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C32 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 46.4.4.9 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 46.4.4.10 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **46.4.4.11 TotalSettlementAmount <TtlSttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### **46.4.4.12 BulkCashSettlementDetails <BlkCshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <Pyeeld>	[1..1]	±		2022
	DraweeIdentification <Drweeld>	[0..1]	±		2022



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

## 46.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 46.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 47      setr.008.001.04 SubscriptionBulkOrderCancellationRequestV 04

## 47.1    MessageDefinition Functionality

### Scope

The SubscriptionBulkOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionBulkOrder.

### Usage

The SubscriptionBulkOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionBulkOrder message is specified in the order reference element. The message identification of the SubscriptionBulkOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionBulkOrderCancellationRequest is made using an OrderCancellationStatusReport message.

### Outline

The SubscriptionBulkOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences  
Identification of the individual order to be cancelled.
- F. CopyDetails

Information provided when the message is a copy of a previous message.

## 47.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdxCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		703
	<b>PoolReference</b> <PoolRef>	[0..1]	±		704
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		704
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		704
	<b>OrderReferences</b> <OrdRefs>	[1..*]			704
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		705
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		705
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		705
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		705
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		705

## 47.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 47.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 47.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 47.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 47.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 47.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "[Max35Text](#)" on page 2536

## 47.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		705
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		705
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		705
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		705

#### 47.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 47.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 47.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 47.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

### 47.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 48      **setr.009.001.04**

# **SubscriptionBulkOrderConfirmationV04**

### 48.1    **MessageDefinition Functionality**

#### Scope

The SubscriptionBulkOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionBulkOrder instruction.

#### Usage

The SubscriptionBulkOrderConfirmation message is used to confirm the execution of all individual orders.

There is usually one bulk confirmation message for one bulk order message.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionBulkOrder message in which the individual order was conveyed may also be quoted in RelatedReference.

A SubscriptionBulkOrder must in all cases be responded to by a SubscriptionBulkOrderConfirmation and in no circumstances by a SubscriptionOrderConfirmation.

If the executing party needs to confirm a SubscriptionOrder instruction, then the SubscriptionOrderConfirmation must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

#### Outline

The SubscriptionBulkOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. BulkExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.



## 48.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdrConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		714
	<b>PoolReference</b> <PoolRef>	[0..1]	±		714
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		714
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		715
	<b>BulkExecutionDetails</b> <BlkExctnDtls>	[1..1]		C8, C29, C31	715
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		718
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		718
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		718
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		719
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		719
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		719
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		719
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	719
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	720
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		723
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		723
	<b>DealReference</b> <DealRef>	[1..1]	Text		723
	<b>OrderType</b> <OrdrTp>	[0..10]	±		723
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	723
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	724
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		725
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		725
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	725
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	725
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		726
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		726
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		727

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	727
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		728
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		728
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		728
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		728
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		729
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		729
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		729
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		730
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		730
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		730
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	730
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	731
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	731
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	732
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		732
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	732
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		733
	<b>InformativeTaxDetails</b> <InfvtvTaxDtls>	[0..1]	±	C32	734
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		736
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		738
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		738
	<b>StaffClientBreakdown</b> <StffClntrBrkdw>	[0..4]	±		738
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	738
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	739
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		739
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		741
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		741
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		741
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		741
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		742

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		742
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	742
	<b>Equalisation</b> <Equlstn>	[0..1]	±		743
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		743
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		743
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		743
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		744
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	744
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	744
	<b>RequestedNAVCurrency</b> <ReqdNAVCCy>	[0..1]	CodeSet	C4	745
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	745
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		745
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		747
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	747

## 48.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in BulkExecutionDetails/IndividualExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C8 BulkCashSettlementDetailsRule**

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of BulkExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C32 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C33 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C34 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 48.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 48.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 48.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 48.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

#### 48.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

#### 48.4.5 BulkExecutionDetails <BlkExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C29 "RequestedSettlementCurrencyRule", C31 "SettlementCurrencyRule"

**BulkExecutionDetails <BlkExctnDtls>** contains the following **SubscriptionBulkExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		718
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		718
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		718
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		719
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		719
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		719
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		719
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	719
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C21, C24, C25, C26	720
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		723
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		723
	<b>DealReference</b> <DealRef>	[1..1]	Text		723
	<b>OrderType</b> <OrdrTp>	[0..10]	±		723
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	723
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	724
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		725
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		725
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	725
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	725
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		726
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		726
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		727
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	727
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		728
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		728
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		728
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		728
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		729
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		729



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		729
	<b>IncomePreference</b> <IncmlPref>	[0..1]	CodeSet		730
	<b>LetterIntentReference</b> <LtrlnInttRef>	[0..1]	Text		730
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		730
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	730
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	731
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	731
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	732
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		732
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	732
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		733
	<b>InformativeTaxDetails</b> <InfvtvTaxDtls>	[0..1]	±	C32	734
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		736
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		738
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		738
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		738
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	738
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	739
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		739
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		741
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		741
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		741
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		741
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		742
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		742
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	742
	<b>Equalisation</b> <Equlstn>	[0..1]	±		743
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		743
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		743
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		743

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		744
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C34	744
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	744
	<b>RequestedNAVCurrency</b> <ReqdNAVCCy>	[0..1]	CodeSet	C4	745
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	745
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		745

#### Constraints

- **BulkCashSettlementDetailsRule**

Either IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in all occurrences of IndividualExecutionDetails/SettlementAmount.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

#### 48.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 48.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 48.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 48.4.5.4 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 48.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2522

#### 48.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 48.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 48.4.5.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the investment fund order execution is related.

Impacted by: C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 48.4.5.9 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a subscription order.

*Impacted by:* C21 "OrderOriginatorEligibility3Rule", C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **SubscriptionExecution12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		723
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		723
	<b>DealReference</b> <DealRef>	[1..1]	Text		723
	<b>OrderType</b> <OrdrTp>	[0..10]	±		723
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	723
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	724
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		725
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		725
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	725
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	725
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		726
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		726
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		727
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	727
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		728
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		728
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		728
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		728
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		729
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		729
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		729
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		730
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		730
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		730
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C33	730
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	731
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	731
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	732
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		732
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	732

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		733
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	734
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		736
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		738
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		738
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		738
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	738
	<b>SubscriptionInterest</b> <SbcptlIntrst>	[0..1]	Amount	C3, C10	739
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		739
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		741
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		741
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		741
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		741
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		742
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		742
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	742
	<b>Equalisation</b> <Equlstn>	[0..1]	±		743
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		743
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		743
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		743
	<b>SignatureType</b> <SgnrTp>	[0..1]	±		744
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C34	744

## Constraints

### • OrderOriginatorEligibility3Rule

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

### • PhysicalDeliveryDetails1Rule

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

#### 48.4.5.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 48.4.5.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 48.4.5.9.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 48.4.5.9.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 48.4.5.9.5 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 48.4.5.9.6 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2055
	BirthDate <BirthDt>	[0..1]	Date		2055
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2055
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2056
	OtherIdentification <OthrId>	[0..*]			2056
	Identification <Id>	[1..1]	Text		2056
	IdentificationType <IdTp>	[1..1]			2056
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057
	Issuer </ssr>	[0..1]	Text		2058



**Constraints**

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**48.4.5.9.7 UnitsNumber <UnitsNb>**

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2533

**48.4.5.9.8 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**48.4.5.9.9 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**48.4.5.9.10 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

Impacted by: C3 "ActiveCurrency", C10 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.9.11 TradeDateTime <TradDtTm>

Presence: [1..1]

Definition: Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 48.4.5.9.12 DealingPriceDetails <DealgPricDtls>

Presence: [1..1]

Definition: Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 48.4.5.9.13 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 48.4.5.9.14 SettlementAmount <SttlmAmt>

*Presence:* [1..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.9.15 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 48.4.5.9.16 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

#### 48.4.5.9.17 PartiallyExecutedIndicator <PrtlyExctdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 48.4.5.9.18 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2419

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 48.4.5.9.19 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 48.4.5.9.20 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 48.4.5.9.21 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms33](#)" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

#### 48.4.5.9.22 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 48.4.5.9.23 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2536

#### 48.4.5.9.24 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2536

#### 48.4.5.9.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C18 "NonStandardsSLAReferenceRule", C33 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	731
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	731
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	732
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		732
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	732
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		733

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 48.4.5.9.25.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.9.25.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.9.25.3 TotalTaxes <TtITaxes>

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.9.25.4 CommercialAgreementReference <ComrcIAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 48.4.5.9.25.5 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"



**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApldRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 48.4.5.9.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApIdRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 48.4.5.9.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

#### **Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

#### **48.4.5.9.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 48.4.5.9.28 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 48.4.5.9.29 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 48.4.5.9.30 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see ["InvestmentFundsOrderBreakdown2"](#) on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 48.4.5.9.31 Refund <Rfnd>

*Presence:* [0..1]

*Definition:* Return of cash that has been overpaid for a subscription.

*Impacted by:* [C3 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **48.4.5.9.32 SubscriptionInterest <SbcptIntrst>**

*Presence:* [0..1]

*Definition:* Interest received when a subscription amount is paid in advance and then invested by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **48.4.5.9.33 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 48.4.5.9.34 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 48.4.5.9.35 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 48.4.5.9.36 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 48.4.5.9.37 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 48.4.5.9.38 LateReport <LateRpt>

*Presence:* [0..1]

*Definition:* Specifies whether the order execution confirmation is late.

*Datatype:* "LateReport1Code" on page 2465

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

#### 48.4.5.9.39 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 48.4.5.9.40 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification </Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**48.4.5.9.41 Equalisation <Equlstn>**

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see "[Equalisation1](#)" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

**48.4.5.9.42 SourceOfCash <SrcOfCsh>**

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "[SourceOfCash1Choice](#)" on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

**48.4.5.9.43 CustomerConductClassification <CstmrCndctClssfctn>**

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "[CustomerConductClassification1Choice](#)" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

**48.4.5.9.44 TransactionChannelType <TxChanlTp>**

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 48.4.5.9.45 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 48.4.5.9.46 OrderWaiverDetails <OrdWvrDtIs>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C34 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtIs>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 48.4.5.10 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C3 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 48.4.5.11 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 48.4.5.12 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 48.4.5.13 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

## 48.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 48.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 49 setr.010.001.04 SubscriptionOrderV04

### 49.1 MessageDefinition Functionality

#### Scope

The SubscriptionOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct the subscription of one or more financial instruments for one investment fund account.

#### Usage

The SubscriptionOrder message is used to instruct single subscription orders, that is, a message containing one order for one financial instrument for one investment account. The SubscriptionOrder message may also be used for multiple orders, that is, a message containing several orders for the same investment account for different financial instruments.

For a single subscription order, the SubscriptionOrder message, not the SubscriptionBulkOrder message, must be used.

If there are subscription orders for the same financial instrument but for different accounts that are to be communicated in a single message, then the SubscriptionBulkOrder message must be used.

#### Outline

The SubscriptionOrderV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MultipleOrderDetails

General information related to the orders.

E. CopyDetails

Information provided when the message is a copy of a previous message.

F. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.



## 49.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdr>	[1..1]		C2	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		753
	<b>PoolReference</b> <PoolRef>	[0..1]	±		754
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		754
	<b>MultipleOrderDetails</b> <MltplOrdrDtls>	[1..1]		C7, C21, C29, C32	754
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		757
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		757
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		757
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		757
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		758
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		758
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	758
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	758
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	759
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		761
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		761
	<b>OrderType</b> <OrdrTp>	[0..10]	±		762
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	762
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		763
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			763
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		763
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	763
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	764
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		764
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	764
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		765
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		765
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		765

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		766
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		766
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		766
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	767
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		767
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	767
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		768
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		769
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		771
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		771
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	771
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	771
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		772
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		774
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		774
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		774
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		775
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	775
	<b>Equalisation</b> <Equlstn>	[0..1]	±		775
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		776
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		776
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		776
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		776
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	777
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		777
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	779
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		779
	<b>Extension</b> <Xtnsn>	[0..*]	±	C14	780

## 49.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleOrderDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C5 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C6 BICFI

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

### C7 BulkCashSettlementDetailsRule

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

### C8 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C9 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### C10 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present.  
If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C12 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C13 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C14 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C15 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C16 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C17 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C18 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.

**C22 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C26 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C27 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C33 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 49.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 49.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 49.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 49.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 49.4.4 MultipleOrderDetails <MltplOrdRDtls>

*Presence:* [1..1]

*Definition:* General information related to the orders.

*Impacted by:* [C7 "BulkCashSettlementDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#), [C29 "SettlementCurrencyRule"](#), [C32 "TotalSettlementCurrencyRule"](#)

**MultipleOrderDetails <MltplOrdrDtls>** contains the following **SubscriptionMultipleOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		757
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		757
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		757
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		757
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		758
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		758
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	758
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C22	758
	<b>IndividualOrderDetails</b> <IndvOrdrDtls>	[1..*]		C23, C24, C27	759
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		761
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		761
	<b>OrderType</b> <OrdrTp>	[0..10]	±		762
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	762
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		763
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			763
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		763
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	763
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	764
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		764
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	764
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		765
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		765
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		765
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		766
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		766
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		766
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	767
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		767

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	767
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		768
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		769
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		771
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		771
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	771
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	771
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		772
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		774
	<b>StaffClientBreakdown</b> <StffClntBrkdown>	[0..4]	±		774
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		774
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		775
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	775
	<b>Equalisation</b> <Equlstn>	[0..1]	±		775
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		776
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		776
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		776
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		776
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	777
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		777
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	779

### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualOrderDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either one or more occurrences of IndividualOrderDetails/RelatedPartyDetails/OrderOriginatorEligibility or InvestmentAccountDetails/OrderOriginatorEligibility may be present, but not both.



- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 49.4.4.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

#### 49.4.4.2 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 49.4.4.3 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

#### 49.4.4.4 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 49.4.4.5 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed. The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 49.4.4.6 CancellationRight <CxlRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxlRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 49.4.4.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

##### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 49.4.4.8 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C22 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson31" on page 2054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2055
	BirthDate <BirthDt>	[0..1]	Date		2055
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2055
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2056
	OtherIdentification <OthrId>	[0..*]			2056
	Identification <Id>	[1..1]	Text		2056
	IdentificationType <IdTp>	[1..1]			2056
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057
	Issuer <Issr>	[0..1]	Text		2058

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

#### 49.4.4.9 IndividualOrderDetails <IndvOrdrDtls>

*Presence:* [1..\*]

*Definition:* Order to invest the investor's principal in an investment fund.

*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule", C27 "RequestedSettlementCurrencyRule"

**IndividualOrderDetails <IndvOrdDtls>** contains the following **SubscriptionOrder14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		761
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		761
	<b>OrderType</b> <OrdTp>	[0..10]	±		762
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C18	762
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		763
	<b>AmountOrUnits</b> <AmtOrUnits>	[1..1]			763
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		763
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	763
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	764
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		764
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C3, C10	764
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		765
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		765
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		765
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		766
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		766
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		766
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C16	767
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		767
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	767
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		768
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		769
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		771
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		771
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	771
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C4	771
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		772
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		774
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		774
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		774

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		775
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	775
	<b>Equalisation</b> <Equlstn>	[0..1]	±		775
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		776
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		776
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		776
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		776
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C33	777

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

On Condition

/RequestedSettlementCurrency is present

And /SettlementAmount is present

Following Must be True

/RequestedSettlementCurrency Must be equal to /SettlementAmount/  
attribute::Currency

#### 49.4.4.9.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 49.4.4.9.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 49.4.4.9.3 OrderType <OrdrTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdrTp>** contains one of the following elements (see "FundOrderType4Choice" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

#### 49.4.4.9.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the order.

*Impacted by:* C18 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 49.4.4.9.5 SubAccountForHolding <SubAcctForHldg>

*Presence:* [0..1]

*Definition:* Subdivision of the account used to segregate specific holdings.

**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "[SubAccount6](#)" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

#### 49.4.4.9.6 AmountOrUnits <AmtOrUnits>

*Presence:* [1..1]

*Definition:* Amount of money or the number of units for the subscription order.

**AmountOrUnits <AmtOrUnits>** contains one of the following **FinancialInstrumentQuantity27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		763
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C4, C9	763
Or}	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C4, C9	764

##### 49.4.4.9.6.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "[DecimalNumber](#)" on page 2533

##### 49.4.4.9.6.2 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C4 "[ActiveOrHistoricCurrency](#)", C9 "[CurrencyAmount](#)"

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**49.4.4.9.6.3 NetAmount <NetAmt>**

*Presence:* [1..1]

*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C4 "ActiveOrHistoricCurrency", C9 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**49.4.4.9.7 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**49.4.4.9.8 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.



*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### **49.4.4.9.9 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### **49.4.4.9.10 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

#### **49.4.4.9.11 ForeignExchangeDetails <FXDtIs>**

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### **EXAMPLE 1**

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

## EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

### 49.4.4.9.12 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

### 49.4.4.9.13 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2536

### 49.4.4.9.14 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "[Max35Text](#)" on page 2536

**49.4.4.9.15 TransactionOverhead <TxOvrhd>***Presence:* [0..1]*Definition:* Fees (charges/commission) and tax to be applied to the net amount.*Impacted by:* C16 "FeeTaxElementRule"**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrclAgrmtRef>	[0..1]	Text		767
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C15, C30, C31	767
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		768

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**49.4.4.9.15.1 CommercialAgreementReference <ComrclAgrmtRef>***Presence:* [0..1]*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.*Datatype:* "Max35Text" on page 2536**49.4.4.9.15.2 IndividualFee <IndvFee>***Presence:* [0..\*]*Definition:* Individual fee (charge/commission).*Impacted by:* C15 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 49.4.4.9.15.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 49.4.4.9.16 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 49.4.4.9.17 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 49.4.4.9.18 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

#### 49.4.4.9.19 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 49.4.4.9.20 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**49.4.4.9.21 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.



**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 49.4.4.9.22 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 49.4.4.9.23 StaffClientBreakdown <StffCIntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffCIntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 49.4.4.9.24 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.

CodeName	Name	Definition
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 49.4.4.9.25 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 49.4.4.9.26 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 49.4.4.9.27 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 49.4.4.9.28 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "SourceOfCash1Choice" on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 49.4.4.9.29 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 49.4.4.9.30 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 49.4.4.9.31 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 49.4.4.9.32 OrderWaiverDetails <OrdrWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C33 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 49.4.4.10 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <Pyeeld>	[1..1]	±		2023
	DraweeIdentification <Drweeld>	[0..1]	±		2023
	DrawerIdentification <Drwrlid>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 49.4.4.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 49.4.5 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 49.4.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C14 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 50      **setr.011.001.04**

## **SubscriptionOrderCancellationRequestV04**

### **50.1    MessageDefinition Functionality**

#### Scope

The SubscriptionOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SubscriptionOrder.

#### Usage

The SubscriptionOrderCancellationRequest message is used to request the cancellation of one or more individual orders.

There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of one or more individual orders, the order reference of each individual order listed in the original SubscriptionOrder message is specified in the order reference element. The message identification of the SubscriptionOrder message which contains the individual orders to be cancelled may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation.

The rejection or acceptance of a SubscriptionOrderCancellationRequest is made using an OrderCancellationStatusReport message.

#### Outline

The SubscriptionOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

E. OrderReferences

Identification of the individual order to be cancelled.

F. CopyDetails

Information provided when the message is a copy of a previous message.

## 50.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdxCxlReq>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		782
	<b>PoolReference</b> <PoolRef>	[0..1]	±		783
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		783
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		783
	<b>OrderReferences</b> <OrdRefs>	[1..*]			783
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		784
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		784
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		784
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		784
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		784

## 50.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 50.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 50.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 50.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 50.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 50.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2536

## 50.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		784
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		784
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		784
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		784

#### 50.4.5.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 50.4.5.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 50.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 50.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

### 50.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

# 51 setr.012.001.04 SubscriptionOrderConfirmationV04

## 51.1 MessageDefinition Functionality

### Scope

The SubscriptionOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a SubscriptionOrder instruction.

### Usage

The SubscriptionOrderConfirmation message is used to confirm the execution of one or more individual orders.

A SubscriptionOrder message containing more than one individual order may be responded to by more than one SubscriptionOrderConfirmation message, as the valuation cycle of the financial instruments in each individual order may be different. When a SubscriptionOrderConfirmation message contains fewer confirmations than originally instructed in the original SubscriptionOrder message, there is no specification indication in the confirmation for this. Reconciliation must be based on the references.

Each individual order confirmation specified is identified in DealReference. The reference of the original individual order is specified in OrderReference. The message identification of the SubscriptionOrder message in which the individual orders was conveyed may also be quoted in RelatedReference but this is not recommended.

A SubscriptionOrder must in all cases be responded to by a SubscriptionOrderConfirmation message and in no circumstances by a SubscriptionBulkOrderConfirmation message.

If the executing party needs to confirm one or more subscription orders for the same financial instrument, then a SubscriptionBulkOrderConfirmation message must be used.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

### Outline

The SubscriptionOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. PoolReference

Collective reference identifying a set of messages.

#### C. PreviousReference

Reference to a linked message that was previously sent.

#### D. RelatedReference

Reference to a linked message that was previously received.

E. MultipleExecutionDetails

General information related to the execution of the orders.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 51.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdConf>	[1..1]		C2, C22	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		792
	<b>PoolReference</b> <PoolRef>	[0..1]	±		792
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		793
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		793
	<b>MultipleExecutionDetails</b> <MltplExctnDtls>	[1..1]		C8, C21, C31, C33	793
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		796
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		796
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		797
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		797
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		797
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		797
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		797
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	798
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	798
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	799
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		802
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		802
	<b>DealReference</b> <DealRef>	[1..1]	Text		802
	<b>OrderType</b> <OrdTp>	[0..10]	±		802
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	803
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		803
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		804
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		804
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	804
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	804
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		805

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		805
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		806
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	806
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		806
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		807
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		807
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		807
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		807
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		807
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		808
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		808
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		809
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		809
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	809
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	810
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	810
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	811
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		811
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	811
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		812
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	813
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		815
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		817
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		817
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	817
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	817
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	818
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	818
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		819
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		821
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		821



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		821
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		821
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		822
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		822
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		822
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	822
	<b>Equalisation</b> <Equlstn>	[0..1]	±		823
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		823
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		823
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		824
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		824
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C35	824
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	825
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		825
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		827
	<b>Extension</b> <Xtnsn>	[0..*]	±	C15	827

## 51.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 AccountIdentificationRule

If this message is linked to an account opening request and the account identification is not yet known then the value of the AccountIdentification element in MultipleExecutionDetails/InvestmentAccountDetails must be UNKNOWN.

*This constraint is defined at the MessageDefinition level.*

### C3 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C4 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C6 AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

**C7 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C8 BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

**C9 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C10 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C11 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C12 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C13 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C14 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C15 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

**C22 OrderReferenceRule**

If this message is not solicited by the receiver, then the value of the OrderReference element in every occurrence of MultipleExecutionDetails/IndividualExecutionDetails must be UNSOLICITED.

*This constraint is defined at the MessageDefinition level.*

**C23 PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

**C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

**C30 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C31 SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

**C32 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C33 TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

**C34 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C35 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 51.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 51.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 51.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 51.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 51.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 51.4.5 MultipleExecutionDetails <MltplExctnDtls>

*Presence:* [1..1]

*Definition:* General information related to the execution of the orders.

*Impacted by:* C8 "BulkCashSettlementDetailsRule", C21 "OrderOriginatorEligibility3Rule", C31 "SettlementCurrencyRule", C33 "TotalSettlementCurrencyRule"

**MultipleExecutionDetails** <MltplExctnDtls> contains the following **SubscriptionMultipleExecution5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		796
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		796
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		797
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		797
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		797
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		797
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		797
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[1..1]	±	C20	798
	<b>BeneficiaryDetails</b> <BnfcryDtls>	[0..*]	±	C23	798
	<b>IndividualExecutionDetails</b> <IndvExctnDtls>	[1..*]		C24, C25, C26, C29	799
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		802
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		802
	<b>DealReference</b> <DealRef>	[1..1]	Text		802
	<b>OrderType</b> <OrdrTp>	[0..10]	±		802
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	803
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		803
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		804
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		804
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	804
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	804
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		805
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		805
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		806
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	806
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		806
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		807
	<b>PartiallyExecutedIndicator</b> <PrtlyExctdInd>	[1..1]	Indicator		807
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		807
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		807

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		807
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		808
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		808
	<b>LetterIntentReference</b> <LtrInttRef>	[0..1]	Text		809
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		809
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	809
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	810
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	810
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C3, C10	811
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		811
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	811
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		812
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	813
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		815
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		817
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		817
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	817
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	817
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	818
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	818
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		819
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		821
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		821
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		821
	<b>StaffClientBreakdown</b> <StffClntBrkdwn>	[0..4]	±		821
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		822
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		822
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		822
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	822
	<b>Equalisation</b> <Equlstn>	[0..1]	±		823

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		823
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		823
	<b>TransactionChannelType</b> <TxChanITp>	[0..1]	±		824
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		824
	<b>OrderWaiverDetails</b> <OrdWrDtls>	[0..1]	±	C35	824
	<b>TotalSettlementAmount</b> <TtlSttlmAmt>	[0..1]	Amount	C3, C10	825
	<b>BulkCashSettlementDetails</b> <BlkCshSttlmDtls>	[0..1]	±		825

#### Constraints

- **BulkCashSettlementDetailsRule**

Either one or more occurrences of IndividualExecutionDetails/CashSettlementDetails or BulkCashSettlementDetails may be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or one or more occurrences of IndividualExecutionDetails/RelatedPartyDetails/OrderOriginatorEligibility may be present, but not both.

- **SettlementCurrencyRule**

If BulkCashSettlementDetails is present, then Currency in IndividualExecutionDetails/SettlementAmount must be the same in all occurrences of IndividualExecutionDetails.

- **TotalSettlementCurrencyRule**

If TotalSettlementAmount is present, then Currency in IndividualOrderDetails/SettlementAmount, if present, must be the same in all occurrences of IndividualOrderDetails.

#### 51.4.5.1 AmendmentIndicator <AmdmntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 51.4.5.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "[Max35Text](#)" on page 2536



### 51.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

### 51.4.5.4 OrderDateTime <OrdDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

### 51.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2522

### 51.4.5.6 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

### 51.4.5.7 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

### 51.4.5.8 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [1..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### 51.4.5.9 BeneficiaryDetails <BnfcryDtls>

*Presence:* [0..\*]

*Definition:* Additional information about the investor.

*Impacted by:* C23 "PersonElementRule"

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "IndividualPerson32" on page 2058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrlId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer </ssr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 51.4.5.10 IndividualExecutionDetails <IndvExctnDtls>

*Presence:* [1..\*]

*Definition:* Execution of a subscription order.

*Impacted by:* C24 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule", C26 "PriceDifferenceReasonRule", C29 "RequestedSettlementCurrencyRule"

**IndividualExecutionDetails** <IndvExctnDtls> contains the following **SubscriptionExecution13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		802
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		802
	<b>DealReference</b> <DealRef>	[1..1]	Text		802
	<b>OrderType</b> <OrdrTp>	[0..10]	±		802
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	803
	<b>SubAccountForHolding</b> <SubAcctForHldg>	[0..1]	±		803
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		804
	<b>Rounding</b> <Rndg>	[0..1]	CodeSet		804
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C3, C10	804
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C3, C10	804
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		805
	<b>DealingPriceDetails</b> <DealgPricDtls>	[1..1]	±		805
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		806
	<b>SettlementAmount</b> <SttlmAmt>	[1..1]	Amount	C3, C10	806
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		806
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		807
	<b>PartiallyExecutedIndicator</b> <PrtyExctdInd>	[1..1]	Indicator		807
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		807
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		807
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		807
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		808
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		808
	<b>LetterIntentReference</b> <LtrlInttRef>	[0..1]	Text		809
	<b>AccumulationRightReference</b> <AcmltnRghtRef>	[0..1]	Text		809
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C34	809
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	810
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	810
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	811
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		811
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	811

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		812
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C32	813
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		815
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		817
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		817
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C3	817
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C4	817
	<b>Refund</b> <Rfnd>	[0..1]	Amount	C3, C10	818
	<b>SubscriptionInterest</b> <SbcptIntrst>	[0..1]	Amount	C3, C10	818
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		819
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		821
	<b>PartialSettlementOfUnits</b> <PrtlSttlmOfUnits>	[0..1]	Rate		821
	<b>PartialSettlementOfCash</b> <PrtlSttlmOfCsh>	[0..1]	Rate		821
	<b>StaffClientBreakdown</b> <StffClntBrkdw>	[0..4]	±		821
	<b>FinancialAdvice</b> <FinAdv>	[0..1]	CodeSet		822
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		822
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		822
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	822
	<b>Equalisation</b> <Equlstn>	[0..1]	±		823
	<b>SourceOfCash</b> <SrcOfCsh>	[0..*]	±		823
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		823
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		824
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		824
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C35	824

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

```

On Condition
  /PhysicalDeliveryIndicator is equal to value 'true'
Or
  /PhysicalDeliveryIndicator is equal to value '1'
Following Must be True
  /PhysicalDeliveryDetails Must be present

```

- **PriceDifferenceReasonRule**

Any occurrence of InformativePriceDetails/PriceDifferenceReason may not be present.

- **RequestedSettlementCurrencyRule**

If RequestedSettlementCurrency is present, it must be the same Currency as in SettlementAmount, if present.

```

On Condition
  /RequestedSettlementCurrency is present
And
  /SettlementAmount is present
Following Must be True
  /RequestedSettlementCurrency Must be equal to /SettlementAmount/
attribute::Currency

```

#### 51.4.5.10.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 51.4.5.10.2 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 51.4.5.10.3 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 51.4.5.10.4 OrderType <OrdTp>

*Presence:* [0..10]

*Definition:* Category of the investment fund order.

**OrderType <OrdTp>** contains one of the following elements (see "[FundOrderType4Choice](#)" on page 1654 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

**51.4.5.10.5 FinancialInstrumentDetails <FinInstrmDtls>***Presence:* [1..1]*Definition:* Investment fund class to which the investment fund order execution is related.*Impacted by:* C17 "IdentificationGuideline"**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

**Constraints**

- IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**51.4.5.10.6 SubAccountForHolding <SubAcctForHldg>***Presence:* [0..1]*Definition:* Subdivision of the account used to segregate specific holdings.**SubAccountForHolding <SubAcctForHldg>** contains the following elements (see "SubAccount6" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

**51.4.5.10.7 UnitsNumber <UnitsNb>**

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2533

**51.4.5.10.8 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**51.4.5.10.9 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.10 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410



**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.11 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**51.4.5.10.12 DealingPriceDetails <DealgPricDtls>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**DealingPriceDetails <DealgPricDtls>** contains the following elements (see "[UnitPrice22](#)" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

**51.4.5.10.13 InformativePriceDetails <InftvPricDtls>**

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "[UnitPrice22](#)" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

**51.4.5.10.14 SettlementAmount <SttlmAmt>**

*Presence:* [1..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.15 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

**51.4.5.10.16 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

**51.4.5.10.17 PartiallyExecutedIndicator <PrtlyExctdInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the order has been partially executed, that is, the confirmed quantity does not match the ordered quantity for a given financial instrument.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**51.4.5.10.18 BestExecution <BestExctn>**

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2419

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

**51.4.5.10.19 CumDividendIndicator <CumDvddInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**51.4.5.10.20 InterimProfitAmount <IntrmPrftAmt>**

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 51.4.5.10.21 ForeignExchangeDetails <FXDtIs>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "ForeignExchangeTerms33" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

#### 51.4.5.10.22 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 51.4.5.10.23 LetterIntentReference <LtrInttRef>

*Presence:* [0..1]

*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer. A letter of intent program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

#### 51.4.5.10.24 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation right program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

#### 51.4.5.10.25 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C18 "NonStandardsSLAReferenceRule", C34 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C3, C10	810
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C3, C10	810
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C3, C10	811
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		811
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C6	811
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		812

**Constraints**

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**51.4.5.10.25.1 TotalOverheadApplied <TtlOvrhdApId>**

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.25.2 TotalFees <TtlFees>**

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.25.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.25.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**51.4.5.10.25.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApIdRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

### 51.4.5.10.25.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.



**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApldRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 51.4.5.10.26 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C32 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**51.4.5.10.27 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 51.4.5.10.28 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 51.4.5.10.29 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 51.4.5.10.30 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* [C3 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 51.4.5.10.31 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C4 "ActiveOrHistoricCurrency"](#)

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### **51.4.5.10.32 Refund <Rfnd>**

*Presence:* [0..1]

*Definition:* Return of cash that has been overpaid for a subscription.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **51.4.5.10.33 SubscriptionInterest <SbcptIntrst>**

*Presence:* [0..1]

*Definition:* Interest received when a subscription amount is paid in advance and then invested by the fund.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**51.4.5.10.34 CashSettlementDetails <CshSttImDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrlid>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <Pyeeld>	[1..1]	±		2023
	DraweeIdentification <Drweeld>	[0..1]	±		2023
	DrawerIdentification <Drwrlid>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <Acctld>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 51.4.5.10.35 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* "Max350Text" on page 2536

#### 51.4.5.10.36 PartialSettlementOfUnits <PrtlSttlmOfUnits>

*Presence:* [0..1]

*Definition:* Percentage of units partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 51.4.5.10.37 PartialSettlementOfCash <PrtlSttlmOfCsh>

*Presence:* [0..1]

*Definition:* Percentage of cash partially settled.

*Datatype:* "PercentageRate" on page 2534

#### 51.4.5.10.38 StaffClientBreakdown <StffClntBrkdwn>

*Presence:* [0..4]

*Definition:* Breakdown of the net amount per type of order.

**StaffClientBreakdown <StffClntBrkdwn>** contains the following elements (see "InvestmentFundsOrderBreakdown2" on page 1653 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

**51.4.5.10.39 FinancialAdvice <FinAdv<***Presence:* [0..1]*Definition:* Specifies if advice has been received from an independent financial advisor.*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

**51.4.5.10.40 NegotiatedTrade <NgtdTrad<***Presence:* [0..1]*Definition:* Specifies whether the trade is negotiated.*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**51.4.5.10.41 LateReport <LateRpt<***Presence:* [0..1]*Definition:* Specifies whether the order execution confirmation is late.*Datatype:* "LateReport1Code" on page 2465

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

**51.4.5.10.42 RelatedPartyDetails <RltdPtyDtls<***Presence:* [0..10]*Definition:* Party related to the transaction.*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 51.4.5.10.43 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see "Equalisation1" on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

#### 51.4.5.10.44 SourceOfCash <SrcOfCsh>

*Presence:* [0..\*]

*Definition:* Source of cash used for the settlement of the subscription.

**SourceOfCash <SrcOfCsh>** contains one of the following elements (see "SourceOfCash1Choice" on page 1984 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 51.4.5.10.45 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClsfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 51.4.5.10.46 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 51.4.5.10.47 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 51.4.5.10.48 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C35 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 51.4.5.11 TotalSettlementAmount <TtlSttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the multiple order.

*Impacted by:* C3 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 51.4.5.12 BulkCashSettlementDetails <BlkCshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**BulkCashSettlementDetails <BlkCshSttlmDtls>** contains the following elements (see "PaymentTransaction70" on page 2011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <DrwrlId>	[0..1]	±		2022
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrlId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

## 51.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 51.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C15 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

## 52 setr.013.001.04 SwitchOrderV04

### 52.1 MessageDefinition Functionality

#### Scope

The SwitchOrder message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to instruct a switch transaction from a financial instrument or multiple financial instruments to a different specified financial instrument or instruments for a specified amount/quantity.

#### Usage

The SwitchOrder message is used to either:

- instruct one switch transaction comprising one or more redemption legs and one or more subscription legs, that is, a single switch transaction that can be a one to one, many to one, many to many or one to many switch transaction, or,
- instruct one or many switch transactions each comprising one redemption leg and one subscription leg, that is, multiple simple switch transactions.

The SwitchOrder message may be used to either:

- instruct a switch transaction for one investment account, or,
- instruct a switch transaction for separate accounts at the redemption and subscription leg levels.

The message caters for a switch from one financial instrument to another financial instrument (within the same fund family), many to one, many to many and one to many.

The message caters for switch transactions that result in an additional cash payment from the investor or a transaction that results in a net payment to the investor. Not all institutions or funds permit this type of switch and acceptance is therefore not automatic.

There is no limitation on the number of switch legs in a switch message. The number allowed is defined by the fund prospectus or by the service level agreement (SLA) in place between the two parties. However, if the SwitchOrderDetails sequence is present more than once, then the RedemptionLegDetails and SubscriptionLegDetails sequences may only be present once.

If SwitchOrderDetails\InvestmentAccount is used, then the InvestmentAccountDetails sequences in SubscriptionLegDetails and RedemptionLegDetails are not allowed. This functionality is to be used by institutions that set up two accounts per investor, rather than one investment account.

There is no switch driver type in the message to indicate whether the switch is buy or sell driven. A driver is not needed since it is possible to indicate the total subscription amount or the total redemption amount. Only one of these two amounts should be used.

The subscription quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be subscribed to, for example, the subscription of EUR 1,000 of financial instrument ISIN LU1234567890 or



- Unit: the number of units of the financial instrument to be subscribed to, for example, the subscription of 10 units of financial instrument ISIN LU1234567890 or

- Percentage of the total redemption amount: when the switch transaction is redemption driven, it is the part of the redemption amount that must be switched to a specific financial instrument, for example, the subscription quantity of financial instrument ISIN LU1234567890 represents 50% of the redemption amount of the financial instrument ISIN LU4444444444.

The redemption quantity can be expressed in one of the following ways:

- Amount: the monetary value (either GROSS or NET) of the financial instrument to be redeemed, for example, the redemption of EUR 1,000 of financial instrument ISIN LU1234567890, or

- Unit: the number of units of financial instrument to be redeemed, for example, the redemption of 10 units of financial instrument ISIN LU1234567890, or

- Rate: the part of the portfolio to be redeemed, for example, the redemption of 10% of the holdings in financial instrument ISIN LU1234567890, or

- Percentage of the total subscription amount: when the switch transaction is subscription driven, it is the part of the subscription amount that must be the result of the redemption of a specific financial instrument, for example, the redemption quantity in financial instrument ABC represents 50% of the subscription amount of the financial instrument ISIN LU4444444444.

#### Outline

The SwitchOrderV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

##### B. PoolReference

Collective reference identifying a set of messages.

##### C. PreviousReference

Reference to a linked message that was previously sent.

##### D. MessagePagination

Pagination of the message.

##### E. SwitchOrderDetails

Information related to the switch order.

##### F. CopyDetails

Information provided when the message is a copy of a previous message.

##### G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 52.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrd>	[1..1]		C19	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		835
	<b>PoolReference</b> <PoolRef>	[0..1]	±		835
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		836
	<b>MessagePagination</b> <MsgPgntn>	[0..1]	±		836
	<b>SwitchOrderDetails</b> <SwchOrdRdtls>	[1..*]		C15, C18, C22	836
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		839
	<b>OrderDateTime</b> <OrdRdtTm>	[0..1]	DateTime		840
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		840
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		840
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		840
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	840
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C20	841
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		841
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C7	842
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		842
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		842
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		843
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		843
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		843
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C23, C25	843
	<b>LegIdentification</b> <LegId>	[0..1]	Text		845
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	845
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			846
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		846
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		846
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	846
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	847

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		847
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	847
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		848
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		848
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	848
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	849
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	849
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		850
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	850
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		851
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		851
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		853
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		853
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		853
	<b>Equalisation</b> <Equlstn>	[0..1]	±		853
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C24, C26	854
	<b>LegIdentification</b> <LegId>	[0..1]	Text		855
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	855
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			856
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		856
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		856
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	856
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	857
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	857
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		858
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	858
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	858
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	859
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		859

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	859
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		860
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		861
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		863
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		863
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		863
	<b>Equalisation</b> <Equlstn>	[0..1]	±		863
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		864
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		867
	<b>FinancialAdvice</b> <FinAdvnc>	[0..1]	CodeSet		868
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		868
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		868
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		868
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		869
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C32	869
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		869
	<b>Extension</b> <Xtnsn>	[0..*]	±	C12	870

## 52.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C3 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C4 AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**C5 BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**C6 Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**C7 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C8 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C9 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C10 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C11 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C12 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C13 FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAResource, RecipientIdentification) must be present.

**C14 FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C15 FinancialInstrumentQuantity1Rule**

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

#### **C16 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### **C17 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### **C18 InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

#### **C19 MultipleSwitchOrderRule**

If SwitchOrderDetails is present more than once, then SwitchOrderDetails/RedemptionLegDetails and SwitchOrderDetails/SubscriptionLegDetails must only be present once.

*This constraint is defined at the MessageDefinition level.*

#### **C20 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### **C21 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### **C22 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

#### **C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

#### **C24 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

#### **C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C27 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C28 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C29 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C30 StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

**C31 StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**C32 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 52.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 52.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 52.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

### 52.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 52.4.4 MessagePagination <MsgPgntn>

*Presence:* [0..1]

*Definition:* Pagination of the message.

**MessagePagination <MsgPgntn>** contains the following elements (see ["Pagination"](#) on page 1750 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

### 52.4.5 SwitchOrderDetails <SwchOrdDtls>

*Presence:* [1..\*]

*Definition:* Information related to the switch order.

*Impacted by:* [C15 "FinancialInstrumentQuantity1Rule"](#), [C18 "InvestmentAccountDetailsRule"](#), [C22 "OrderOriginatorEligibility3Rule"](#)



**SwitchOrderDetails** <SwchOrdDtls> contains the following **SwitchOrder7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		839
	<b>OrderDateTime</b> <OrdDtTm>	[0..1]	DateTime		840
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		840
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		840
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		840
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	840
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C20	841
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		841
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C7	842
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		842
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		842
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		843
	<b>ExpiryDateTime</b> <XpryDtTm>	[0..1]	±		843
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		843
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C23, C25	843
	<b>LegIdentification</b> <LegId>	[0..1]	Text		845
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	845
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			846
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		846
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		846
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	846
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	847
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		847
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	847
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		848
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		848
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	848
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	849
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	849

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		850
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	850
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		851
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		851
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		853
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		853
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		853
	<b>Equalisation</b> <Equlstn>	[0..1]	±		853
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C24, C26	854
	<b>LegIdentification</b> <LegId>	[0..1]	Text		855
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	855
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			856
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		856
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		856
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	856
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	857
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	857
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		858
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	858
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	858
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	859
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		859
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	859
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		860
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		861
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		863
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		863

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		863
	<b>Equalisation</b> <Equlstrn>	[0..1]	±		863
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		864
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		867
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		868
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		868
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		868
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		868
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		869
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C32	869

### Constraints

- **FinancialInstrumentQuantity1Rule**

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is not present, then RedemptionLegDetails/FinancialInstrumentQuantityChoice is mandatory in each occurrence of RedemptionLegDetails.

If SubscriptionLegDetails/FinancialInstrumentQuantityChoice is present, then it must be present in each occurrence of SubscriptionLegDetails.

- **InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

### 52.4.5.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

### 52.4.5.2 OrderDateTime <OrdrDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order is placed by the investor or its agent.

*Datatype:* "ISODateTime" on page 2522

### 52.4.5.3 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see "PlaceOfTradeIdentification1Choice" on page 1655 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

### 52.4.5.4 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 52.4.5.5 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

### 52.4.5.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 52.4.5.7 RelatedPartyDetails <RltdPtyDtls>

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C20 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary40" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

#### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 52.4.5.8 RequestedFutureTradeDate <ReqdFutrTradDt>

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 52.4.5.9 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C7 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 52.4.5.10 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 52.4.5.11 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

CodeName	Name	Definition
FREE	SeparateSettlement	Settlement of the financial instrument and cash is separate.
APMT	AgainstPaymentSettlement	Settlement of the financial instrument and cash takes place in a delivery versus payment (DVP) environment, that is, through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

### 52.4.5.12 AdditionalAmount <AddtlAmt>

*Presence:* [0..1]

*Definition:* Choice between additional cash in or resulting cash out.

**AdditionalAmount <AddtlAmt>** contains one of the following elements (see ["AdditionalAmount1Choice"](#) on page 1643 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	1643
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	1643

### 52.4.5.13 ExpiryDateTime <XpryDtTm>

*Presence:* [0..1]

*Definition:* Date on which the order expires.

**ExpiryDateTime <XpryDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

### 52.4.5.14 CancellationRight <CxIRght>

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see ["CancellationRight1Choice"](#) on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

### 52.4.5.15 RedemptionLegDetails <RedLegDtls>

*Presence:* [1..\*]

*Definition:* Part of the investment fund switch order that is a redemption.

*Impacted by:* [C23 "PhysicalDeliveryDetails1Rule"](#), [C25 "PhysicalDeliveryDetails2Rule"](#)

**RedemptionLegDetails <RedLegDtls>** contains the following **SwitchRedemptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		845
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	845
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			846
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		846
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		846
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	846
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	847
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		847
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	847
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		848
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		848
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	848
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C3	849
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	849
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		850
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	850
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		851
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		851
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		853
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		853
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		853
	<b>Equalisation</b> <Equlstn>	[0..1]	±		853

#### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'



Following Must be True  
 /PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 52.4.5.15.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### 52.4.5.15.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the redemption leg of the order.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### 52.4.5.15.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

*Presence:* [0..1]

*Definition:* Amount of money, number of units or percentage for the subscription leg of the switch order.

**FinancialInstrumentQuantityChoice <FinInstrmQtyChc>** contains one of the following **FinancialInstrumentQuantity29Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		846
Or	<b>PercentageOfTotalSubscriptionAmount</b> <PctgOfTtlSbcptAmt>	[1..1]	Rate		846
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	846
Or	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	847
Or}	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[1..1]	Rate		847

#### 52.4.5.15.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units redeemed.

*Datatype:* "DecimalNumber" on page 2533

#### 52.4.5.15.3.2 PercentageOfTotalSubscriptionAmount <PctgOfTtlSbcptAmt>

*Presence:* [1..1]

*Definition:* Percentage of the total switch amount (buy-driven) to be invested in a particular investment fund or investment fund class.

*Datatype:* "PercentageRate" on page 2534

#### 52.4.5.15.3.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 52.4.5.15.3.4 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 52.4.5.15.3.5 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [1..1]

*Definition:* Portion of the investor's holdings to be redeemed.

*Datatype:* "PercentageRate" on page 2534

#### 52.4.5.15.4 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 52.4.5.15.5 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 52.4.5.15.6 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "UKTaxGroupUnit1Code" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 52.4.5.15.7 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 52.4.5.15.8 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 52.4.5.15.9 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the gross amount.

*Impacted by:* C14 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		850
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	850
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		851

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**52.4.5.15.9.1 CommercialAgreementReference <ComrcAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**52.4.5.15.9.2 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C13 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

**Constraints**

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

**52.4.5.15.9.3 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Individual tax amount.

**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

**52.4.5.15.10 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 52.4.5.15.11 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 52.4.5.15.12 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 52.4.5.15.13 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2536

#### 52.4.5.15.14 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's retained subscription amount that is returned by the fund in order to reimburse preliminary incentive/performance fees.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

## 52.4.5.16 SubscriptionLegDetails <SbcptLegDtls>

Presence: [1..\*]

Definition: Part of the investment fund switch order that is a subscription.

Impacted by: C24 "PhysicalDeliveryDetails1Rule", C26 "PhysicalDeliveryDetails2Rule"

**SubscriptionLegDetails <SbcptLegDtls>** contains the following **SwitchSubscriptionLegOrder6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		855
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C17	855
	<b>FinancialInstrumentQuantityChoice</b> <FinInstrmQtyChc>	[0..1]			856
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		856
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		856
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	856
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	857
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C21	857
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		858
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	858
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	858
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C14	859
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		859
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	859
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		860
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		861
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		863
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		863
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		863
	<b>Equalisation</b> <Equlstr>	[0..1]	±		863

### Constraints

- PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True  
 /PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition  
 /PhysicalDeliveryIndicator is equal to value 'true'  
 Or /PhysicalDeliveryIndicator is equal to value '1'  
 Following Must be True  
 /PhysicalDeliveryDetails Must be present

#### 52.4.5.16.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### 52.4.5.16.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class related to the subscription leg of the order.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### 52.4.5.16.3 FinancialInstrumentQuantityChoice <FinInstrmQtyChc>

*Presence:* [0..1]

*Definition:* Amount of money, number of units or percentage for the redemption leg of the switch order.

**FinancialInstrumentQuantityChoice <FinInstrmQtyChc>** contains one of the following **FinancialInstrumentQuantity26Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		856
Or	<b>PercentageOfTotalRedemptionAmount</b> <PctgOfTtlRedAmt>	[1..1]	Rate		856
Or	<b>NetAmount</b> <NetAmt>	[1..1]	Amount	C3, C8	856
Or}	<b>GrossAmount</b> <GrssAmt>	[1..1]	Amount	C3, C8	857

#### 52.4.5.16.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units to be subscribed.

*Datatype:* "DecimalNumber" on page 2533

#### 52.4.5.16.3.2 PercentageOfTotalRedemptionAmount <PctgOfTtlRedAmt>

*Presence:* [1..1]

*Definition:* Percentage of the total redemption amount used for the subscription in an investment fund or investment fund class.

*Datatype:* "PercentageRate" on page 2534

#### 52.4.5.16.3.3 NetAmount <NetAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 52.4.5.16.3.4 GrossAmount <GrssAmt>

*Presence:* [1..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C3 "ActiveOrHistoricCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 52.4.5.16.4 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order.

*Impacted by:* C21 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**52.4.5.16.5 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

**52.4.5.16.6 RequestedSettlementCurrency <ReqdSttlmCcy>**

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**52.4.5.16.7 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 52.4.5.16.8 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and tax to be applied to the net amount.

*Impacted by:* C14 "FeeTaxElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **FeeAndTax1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		859
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C13, C30, C31	859
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		860

#### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

##### 52.4.5.16.8.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

##### 52.4.5.16.8.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C13 "FeeElementRule", C30 "StandardFeeAmountCalculation", C31 "StandardFeeRateCalculation"

**IndividualFee <IndvFee>** contains the following elements (see "Fee1" on page 1121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 52.4.5.16.8.3 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax amount.



**IndividualTax <IndvTax>** contains the following elements (see "Tax30" on page 2315 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <Rcptld>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 52.4.5.16.9 SettlementAndCustodyDetails <SttlmAndCtdyDtls>

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 52.4.5.16.10 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 52.4.5.16.11 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["NameAndAddress4"](#) on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

#### 52.4.5.16.12 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2536

#### 52.4.5.16.13 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

**52.4.5.17 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction71" on page 1985 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			1988
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			1991
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			1993
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1995
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1999
Or	ChequeDetails <ChqDtls>	[1..1]			1999
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <PyeeId>	[1..1]	±		2000

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DraweeIdentification <Drweeld>	[0..1]	±		2000
	DrawerIdentification <Drwrlid>	[0..1]	±		2000
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2000
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <Pyeeld>	[1..1]	±		2001
	DraweeIdentification <Drweeld>	[0..1]	±		2001
	DrawerIdentification <Drwrlid>	[0..1]	±		2001
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2002
	AccountIdentification <Acctld>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2002
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2003
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007
Or	ChequeDetails <ChqDtls>	[1..1]			2007
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <Pyeeld>	[1..1]	±		2008
	DraweeIdentification <Drweeld>	[0..1]	±		2008
	DrawerIdentification <Drwrlid>	[0..1]	±		2008
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2009

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2009
	PayeeIdentification <PyeeId>	[1..1]	±		2009
	DraweeIdentification <DrweeId>	[0..1]	±		2009
	DrawerIdentification <DrwrId>	[0..1]	±		2010
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2010
	AccountIdentification <AcctId>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### 52.4.5.18 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms32](#)" on page 1340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

### 52.4.5.19 FinancialAdvice <FinAdv>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

### 52.4.5.20 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

### 52.4.5.21 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

### 52.4.5.22 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.



**TransactionChannelType <TxChanITp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 52.4.5.23 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 52.4.5.24 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C32 "WaiverElementRule"

**OrderWaiverDetails <OrdWvrDtls>** contains the following elements (see "OrderWaiver1" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

### 52.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 52.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C12 "[ExtensionRule](#)"

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 53 setr.014.001.04 SwitchOrderCancellationRequestV04

## 53.1 MessageDefinition Functionality

### Scope

The SwitchOrderCancellationRequest message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the cancellation of a previously sent SwitchOrder instruction.

### Usage

The SwitchOrderCancellationRequest is used to cancel the entire previously sent SwitchOrder instruction/s and all the individual legs that it contains. There is no amendment, but a cancellation and re-instruct policy.

To request the cancellation of a switch order, the order reference of the original switch order is quoted in the order reference element. The message identification of the SwitchOrder message may also be quoted in PreviousReference but this is not recommended.

The deadline and acceptance of a cancellation request is subject to a service level agreement (SLA). This cancellation message is a cancellation request. There is no automatic acceptance of the cancellation request.

The rejection or acceptance of a SwitchOrderCancellationRequest is made using an OrderCancellationStatusReport message.

### Outline

The SwitchOrderCancellationRequestV04 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- E. OrderReferences  
Identification of the individual order to be cancelled.
- F. CopyDetails  
Information provided when the message is a copy of a previous message.

## 53.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdxCxlReq>	[1..1]		C3	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		872
	<b>PoolReference</b> <PoolRef>	[0..1]	±		873
	<b>PreviousReference</b> <PrvsRef>	[0..1]	±		873
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		873
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			873
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		874
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		874
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		874
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		874
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		874

## 53.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 SwitchRule

The cancellation of a switch order must be a full cancellation. Partial cancellations are not allowed, for example, the cancellation of a given leg.

*This constraint is defined at the MessageDefinition level.*

## 53.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 53.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 53.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 53.4.3 PreviousReference <PrvsRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 53.4.4 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "[Max35Text](#)" on page 2536

## 53.4.5 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order to be cancelled.

**OrderReferences <OrdrRefs>** contains the following **InvestmentFundOrder9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		874
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		874
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		874
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		874

#### 53.4.5.1 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 53.4.5.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 53.4.5.3 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 53.4.5.4 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason32Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

### 53.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 54 setr.015.001.04 SwitchOrderConfirmationV04

### 54.1 MessageDefinition Functionality

#### Scope

The SwitchOrderConfirmation message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to confirm the details of the execution of a previously received SwitchOrder instruction.

#### Usage

The SwitchOrderConfirmation message is used to confirm that all the legs of the previously instructed switch order have been executed. The reference of the switch order confirmation is identified in DealReference.

The reference of the original switch order is specified in OrderReference. The message identification of the SwitchOrder message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

When the message is used to convey a confirmation amendment/s, the AmendmentIndicator must be present with the value 'true' or '1'. When this is the case, the message must only contain a confirmation amendment/s and not contain both a confirmation amendment/s and a 'new' confirmation/s.

#### Outline

The SwitchOrderConfirmationV04 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. SwitchExecutionDetails

Information related to a switch execution.

F. CopyDetails

Information provided when the message is a copy of a previous message.

G. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.



## 54.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SwchOrdConf>	[1..1]		C17	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		882
	<b>PoolReference</b> <PoolRef>	[0..1]	±		883
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		883
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		883
	<b>SwitchExecutionDetails</b> <SwchExctnDtls>	[1..*]		C16, C21	883
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		887
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		887
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		887
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		887
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		888
	<b>DealReference</b> <DealRef>	[1..1]	Text		888
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		888
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		888
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	888
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	889
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		889
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		889
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C8	890
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		890
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		890
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		890
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		891
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C22, C24	891
	<b>LegIdentification</b> <LegId>	[0..1]	Text		893
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		893
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	893
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		894
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		894

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	894
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	895
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	895
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		896
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		896
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		897
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		897
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		898
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		898
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		898
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	898
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	899
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	899
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	900
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	900
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C2, C8	901
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		901
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	901
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		902
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	903
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		905
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		907
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		907
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		907
	<b>Equalisation</b> <Equlstn>	[0..1]	±		907
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		908
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C23, C25	908
	<b>LegIdentification</b> <LegId>	[0..1]	Text		910
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		910
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	910
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		911

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	911
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	912
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	912
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		913
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		913
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		913
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		914
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		914
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		914
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	915
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	915
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	915
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	916
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	916
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	917
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		917
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	917
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		918
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	919
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		921
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		923
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		923
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		923
	<b>Equalisation</b> <Equlstr>	[0..1]	±		923
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		924
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		927
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		928
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		928
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		928
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		929
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		929

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		929
	<b>OrderWaiverDetails</b> <OrdrWvrDtls>	[0..1]	±	C31	929
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		930
	<b>Extension</b> <Xtnsn>	[0..*]	±	C13	930

## 54.3 Constraints

### C1 AccountElementRule

Either AccountIdentification or Type must be present. Both may be present.

### C2 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C3 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C4 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C5 AppliedAmountRule

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

### C6 BICFI

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

### C7 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C8 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### C9 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present.  
If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

**C11 DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

**C12 DiscountElementRule**

Amount Or Rate Or Basis must be present.

**C13 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C14 IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**C15 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C16 InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

**C17 MultipleSwitchExecutionRule**

If SwitchExecutionDetails is present more than once, then SwitchExecutionDetails/RedemptionLegDetails and SwitchExecutionDetails/SubscriptionLegDetails must only be present once.

*This constraint is defined at the MessageDefinition level.*

**C18 NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

**C19 OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**C20 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C21 OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

**C22 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C23 PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

**C24 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C25 PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

**C26 ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present.  
If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

**C27 ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

**C28 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C29 TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**C30 TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**C31 WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 54.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 54.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 54.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see ["AdditionalReference9"](#) on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 54.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 54.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 54.4.5 SwitchExecutionDetails <SwchExctnDtls>

*Presence:* [1..\*]

*Definition:* Information related to a switch execution.

*Impacted by:* [C16 "InvestmentAccountDetailsRule"](#), [C21 "OrderOriginatorEligibility3Rule"](#)

**SwitchExecutionDetails** <SwchExctnDtls> contains the following **SwitchExecution7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AmendmentIndicator</b> <AmdmntInd>	[0..1]	Indicator		887
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		887
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±		887
	<b>OrderDateTime</b> <OrdrDtTm>	[0..1]	DateTime		887
	<b>ReceivedDateTime</b> <RcvdDtTm>	[0..1]	DateTime		888
	<b>DealReference</b> <DealRef>	[1..1]	Text		888
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		888
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		888
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	888
	<b>RelatedPartyDetails</b> <RltdPtyDtls>	[0..10]	±	C19	889
	<b>CancellationRight</b> <CxlRght>	[0..1]	±		889
	<b>RequestedFutureTradeDate</b> <ReqdFutrTradDt>	[0..1]	Date		889
	<b>SettlementAmount</b> <SttlmAmt>	[0..1]	Amount	C2, C8	890
	<b>CashSettlementDate</b> <CshSttlmDt>	[0..1]	Date		890
	<b>SettlementMethod</b> <SttlmMtd>	[0..1]	CodeSet		890
	<b>AdditionalAmount</b> <AddtlAmt>	[0..1]	±		890
	<b>BestExecution</b> <BestExctn>	[0..1]	CodeSet		891
	<b>RedemptionLegDetails</b> <RedLegDtls>	[1..*]		C22, C24	891
	<b>LegIdentification</b> <LegId>	[0..1]	Text		893
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		893
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	893
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		894
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		894
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	894
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	895
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	895
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		896
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		896
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		897
	<b>CumDividendIndicator</b> <CumDvddlnd>	[1..1]	Indicator		897



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		898
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		898
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		898
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	898
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	899
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	899
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	900
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	900
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	901
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		901
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	901
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		902
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	903
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		905
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		907
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		907
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		907
	<b>Equalisation</b> <Equlstn>	[0..1]	±		907
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		908
	<b>SubscriptionLegDetails</b> <SbcptLegDtls>	[1..*]		C23, C25	908
	<b>LegIdentification</b> <LegId>	[0..1]	Text		910
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		910
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	910
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		911
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	911
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	912
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	912
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		913
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		913
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		913

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		914
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		914
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		914
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	915
	<b>RequestedNAVCurrency</b> <ReqdNAVCCcy>	[0..1]	CodeSet	C3	915
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	915
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	916
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	916
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	917
	<b>CommercialAgreementReference</b> <ComrcIAgrmtRef>	[0..1]	Text		917
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	917
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		918
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	919
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		921
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		923
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		923
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		923
	<b>Equalisation</b> <Equlstn>	[0..1]	±		923
	<b>CashSettlementDetails</b> <CshSttlmDtls>	[0..1]	±		924
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		927
	<b>FinancialAdvice</b> <FinAdv<	[0..1]	CodeSet		928
	<b>NegotiatedTrade</b> <NgtdTrad>	[0..1]	CodeSet		928
	<b>LateReport</b> <LateRpt>	[0..1]	CodeSet		928
	<b>CustomerConductClassification</b> <CstmrCndctClssfctn>	[0..1]	±		929
	<b>TransactionChannelType</b> <TxChanlTp>	[0..1]	±		929
	<b>SignatureType</b> <SgntrTp>	[0..1]	±		929
	<b>OrderWaiverDetails</b> <OrdWvrDtls>	[0..1]	±	C31	929

**Constraints**

- **InvestmentAccountDetailsRule**

Either InvestmentAccountDetails or all occurrences of SubscriptionLegDetails/InvestmentAccountDetails and RedemptionLegDetails/InvestmentAccountDetails must be present, but not both.

- **OrderOriginatorEligibility3Rule**

Either InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of RedemptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility or a single occurrence of SubscriptionLegDetails/InvestmentAccountDetails/OrderOriginatorEligibility should be only present.

**54.4.5.1 AmendmentIndicator <AmdmntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the confirmation is an amendment of a previous confirmation.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**54.4.5.2 MasterReference <MstrRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* ["Max35Text" on page 2536](#)

**54.4.5.3 PlaceOfTrade <PlcOfTrad>**

*Presence:* [0..1]

*Definition:* Market in which the advised trade transaction was executed.

**PlaceOfTrade <PlcOfTrad>** contains one of the following elements (see ["PlaceOfTradeIdentification1Choice" on page 1655](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

**54.4.5.4 OrderDateTime <OrdrDtTm>**

*Presence:* [0..1]

*Definition:* Date and time at which the order was placed by the investor or its agent.

*Datatype:* ["ISODateTime" on page 2522](#)

#### 54.4.5.5 ReceivedDateTime <RcvdDtTm>

*Presence:* [0..1]

*Definition:* Date and time the order was received by the executing party, for example, the transfer agent.

*Datatype:* "ISODateTime" on page 2522

#### 54.4.5.6 DealReference <DealRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 54.4.5.7 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 54.4.5.8 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 54.4.5.9 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**54.4.5.10 RelatedPartyDetails <RltdPtyDtls>**

*Presence:* [0..10]

*Definition:* Party related to the transaction.

*Impacted by:* C19 "OrderOriginatorEligibility1Rule"

**RelatedPartyDetails <RltdPtyDtls>** contains the following elements (see "Intermediary39" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

**Constraints**

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

**54.4.5.11 CancellationRight <CxIRght>**

*Presence:* [0..1]

*Definition:* Cancellation right of the investor with respect to the investment fund order.

**CancellationRight <CxIRght>** contains one of the following elements (see "CancellationRight1Choice" on page 1686 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

**54.4.5.12 RequestedFutureTradeDate <ReqdFutrTradDt>**

*Presence:* [0..1]

*Definition:* Future date at which the investor requests the order to be executed.

The specification of a requested future trade date is not allowed in some markets. The date must be a date in the future.

*Datatype:* "ISODate" on page 2521

#### 54.4.5.13 SettlementAmount <SttlmAmt>

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 54.4.5.14 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 54.4.5.15 SettlementMethod <SttlmMtd>

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

#### 54.4.5.16 AdditionalAmount <AddtlAmt>

*Presence:* [0..1]

*Definition:* Choice between additional cash in or resulting cash out.

**AdditionalAmount <AddtIAmt>** contains one of the following elements (see "AdditionalAmount1Choice" on page 1643 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtICshIn>	[1..1]	Amount	C3, C12	1643
Or}	ResultingCashOut <RsItgCshOut>	[1..1]	Amount	C3, C12	1643

#### 54.4.5.17 BestExecution <BestExctn>

*Presence:* [0..1]

*Definition:* Specifies that the execution was subject to best execution rules as defined by MiFID.

*Datatype:* "BestExecution1Code" on page 2419

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 54.4.5.18 RedemptionLegDetails <RedLegDtIs>

*Presence:* [1..\*]

*Definition:* Redemption leg of a switch order execution.

*Impacted by:* C22 "PhysicalDeliveryDetails1Rule", C24 "PhysicalDeliveryDetails2Rule"

**RedemptionLegDetails <RedLegDtls>** contains the following **SwitchRedemptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		893
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		893
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	893
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		894
	<b>HoldingsRedemptionRate</b> <HldgsRedRate>	[0..1]	Rate		894
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	894
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	895
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	895
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		896
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		896
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		897
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		897
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		898
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		898
	<b>Group1Or2Units</b> <Grp1Or2Units>	[0..1]	CodeSet		898
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	898
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	899
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	899
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	900
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	900
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C2, C8	901
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		901
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	901
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		902
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	903
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		905
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		907
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		907
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		907
	<b>Equalisation</b> <Equlstr>	[0..1]	±		907



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GatingOrHoldBackDetails</b> <GtgOrHldBckDtls>	[0..1]	±		908

### Constraints

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### 54.4.5.18.1 LegIdentification <LegId>

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### 54.4.5.18.2 LegExecutionIdentification <LegExctnId>

*Presence:* [0..1]

*Definition:* Unique identifier for the instance of the leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### 54.4.5.18.3 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the redemption leg of the investment fund order execution is related.

*Impacted by:* C15 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 54.4.5.18.4 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment funds units redeemed.

*Datatype:* "DecimalNumber" on page 2533

#### 54.4.5.18.5 HoldingsRedemptionRate <HldgsRedRate>

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings redeemed.

*Datatype:* "PercentageRate" on page 2534

#### 54.4.5.18.6 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to the investor when redeeming fund units.

Net amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.18.7 GrossAmount <GrssAmt>**

*Presence:* [0..1]

*Definition:* Amount of money redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.18.8 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 54.4.5.18.9 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 54.4.5.18.10 PriceDetails <PricDtls>

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 54.4.5.18.11 InformativePriceDetails <InftvPricDtls>

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 54.4.5.18.12 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 54.4.5.18.13 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "[ProfitAndLoss2Choice](#)" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 54.4.5.18.14 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "[IncomePreference1Code](#)" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 54.4.5.18.15 Group1Or2Units <Grp1Or2Units>

*Presence:* [0..1]

*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.

*Datatype:* "[UKTaxGroupUnit1Code](#)" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

#### 54.4.5.18.16 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "[ActiveCurrency](#)"

*Datatype:* "[ActiveCurrencyCode](#)" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**54.4.5.18.17 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**54.4.5.18.18 TransactionOverhead <TxOvrhd>**

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* [C18 "NonStandardsSLAReferenceRule"](#), [C30 "TransactionOverheadElementRule"](#)

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	900
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	900
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	901
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		901
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	901
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		902

**Constraints**

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**54.4.5.18.18.1 TotalOverheadApplied <TtlOvrhdApId>**

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.18.18.2 TotalFees <TtlFees>**

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.



**54.4.5.18.18.3 TotalTaxes <TtlTaxes>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.18.18.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**54.4.5.18.18.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C5 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApldRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 54.4.5.18.18.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApldRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 54.4.5.18.19 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C29 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <RcptId>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**54.4.5.18.20 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters11" on page 2156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 54.4.5.18.21 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 54.4.5.18.22 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 54.4.5.18.23 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2536

#### 54.4.5.18.24 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that was held by the fund in order to pay incentive/performance fees at the end of the fiscal year, and is returned due to the redemption.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

**54.4.5.18.25 GatingOrHoldBackDetails <GtgOrHldBckDtls>***Presence:* [0..1]*Definition:* Information about gating and hold back of redemption proceeds.**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see "HoldBackInformation2" on page 1649 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1649
	Amount <Amt>	[0..1]	Amount	C2, C10	1649
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1650
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1650
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1651
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1651
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1651

**54.4.5.19 SubscriptionLegDetails <SbcptLegDtls>***Presence:* [1..\*]*Definition:* Subscription leg of a switch order execution.*Impacted by:* C23 "PhysicalDeliveryDetails1Rule", C25 "PhysicalDeliveryDetails2Rule"



**SubscriptionLegDetails <SbcptLegDtls>** contains the following **SwitchSubscriptionLegExecution4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegIdentification</b> <LegId>	[0..1]	Text		910
	<b>LegExecutionIdentification</b> <LegExctnId>	[0..1]	Text		910
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[1..1]	±	C15	910
	<b>UnitsNumber</b> <UnitsNb>	[1..1]	Quantity		911
	<b>NetAmount</b> <NetAmt>	[0..1]	Amount	C2, C8	911
	<b>GrossAmount</b> <GrssAmt>	[0..1]	Amount	C2, C8	912
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C20	912
	<b>TradeDateTime</b> <TradDtTm>	[1..1]	±		913
	<b>PriceDetails</b> <PricDtls>	[1..1]	±		913
	<b>InformativePriceDetails</b> <InftvPricDtls>	[0..2]	±		913
	<b>CumDividendIndicator</b> <CumDvddInd>	[1..1]	Indicator		914
	<b>InterimProfitAmount</b> <IntrmPrftAmt>	[0..1]	±		914
	<b>IncomePreference</b> <IncmPref>	[0..1]	CodeSet		914
	<b>RequestedSettlementCurrency</b> <ReqdSttlmCcy>	[0..1]	CodeSet	C2	915
	<b>RequestedNAVCurrency</b> <ReqdNAVCcy>	[0..1]	CodeSet	C3	915
	<b>TransactionOverhead</b> <TxOvrhd>	[0..1]		C18, C30	915
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	916
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	916
	<b>TotalTaxes</b> <TtlTxs>	[0..1]	Amount	C2, C8	917
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		917
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	917
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		918
	<b>InformativeTaxDetails</b> <InftvTaxDtls>	[0..1]	±	C29	919
	<b>SettlementAndCustodyDetails</b> <SttlmAndCtdyDtls>	[0..1]	±		921
	<b>PhysicalDeliveryIndicator</b> <PhysDlvryInd>	[1..1]	Indicator		923
	<b>PhysicalDeliveryDetails</b> <PhysDlvryDtls>	[0..1]	±		923
	<b>NonStandardSettlementInformation</b> <NonStdSttlmInf>	[0..1]	Text		923
	<b>Equalisation</b> <Equlstn>	[0..1]	±		923

**Constraints**

- **PhysicalDeliveryDetails1Rule**

If PhysicalDeliveryIndicator is "false" or "0" (No), then PhysicalDeliveryDetails is not allowed.

On Condition

/PhysicalDeliveryIndicator is equal to value 'false'

Or /PhysicalDeliveryIndicator is equal to value '0'

Following Must be True

/PhysicalDeliveryDetails Must be absent

- **PhysicalDeliveryDetails2Rule**

If PhysicalDeliveryIndicator is "true" or "1" (Yes), then PhysicalDeliveryDetails must be present.

On Condition

/PhysicalDeliveryIndicator is equal to value 'true'

Or /PhysicalDeliveryIndicator is equal to value '1'

Following Must be True

/PhysicalDeliveryDetails Must be present

#### **54.4.5.19.1 LegIdentification <LegId>**

*Presence:* [0..1]

*Definition:* Unique technical identifier for the instance of the leg within a switch.

*Datatype:* "Max35Text" on page 2536

#### **54.4.5.19.2 LegExecutionIdentification <LegExctnId>**

*Presence:* [0..1]

*Definition:* Unique identifier for the instance of the leg execution within a switch confirmation.

*Datatype:* "Max35Text" on page 2536

#### **54.4.5.19.3 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [1..1]

*Definition:* Investment fund class to which the subscription leg of the investment fund order execution is related.

*Impacted by:* C15 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 54.4.5.19.4 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Number of investment fund units subscribed.

*Datatype:* "DecimalNumber" on page 2533

#### 54.4.5.19.5 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Amount of money invested in the fund.

Net Amount = Quantity \* Price.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 54.4.5.19.6 GrossAmount <GrssAmt>

*Presence:* [0..1]

*Definition:* Amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 54.4.5.19.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account impacted by the investment fund order execution.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**54.4.5.19.8 TradeDateTime <TradDtTm>**

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**54.4.5.19.9 PriceDetails <PricDtls>**

*Presence:* [1..1]

*Definition:* Price at which the order was executed.

**PriceDetails <PricDtls>** contains the following elements (see "[UnitPrice22](#)" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

**54.4.5.19.10 InformativePriceDetails <InfvtvPricDtls>**

*Presence:* [0..2]

*Definition:* Other quoted price than the one at which the order was executed.

**InformativePriceDetails <InftvPricDtls>** contains the following elements (see "UnitPrice22" on page 2098 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 54.4.5.19.11 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, that is, cum-dividend, in the executed price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 54.4.5.19.12 InterimProfitAmount <IntrmPrftAmt>

*Presence:* [0..1]

*Definition:* Part of the price deemed as accrued income or profit rather than capital. The interim profit amount is used for tax purposes.

**InterimProfitAmount <IntrmPrftAmt>** contains one of the following elements (see "ProfitAndLoss2Choice" on page 2097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

#### 54.4.5.19.13 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference1Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

#### 54.4.5.19.14 RequestedSettlementCurrency <ReqdSttlmCcy>

*Presence:* [0..1]

*Definition:* Currency requested for settlement of cash proceeds.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 54.4.5.19.15 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 54.4.5.19.16 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees (charges/commission) and taxes that are taken into consideration for the transaction, so that the total difference between the net amount and gross amount is known, without taking into account equalisation.

*Impacted by:* C18 "NonStandardsSLAResourceRule", C30 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes40** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalOverheadApplied</b> <TtlOvrhdApld>	[0..1]	Amount	C2, C8	916
	<b>TotalFees</b> <TtlFees>	[0..1]	Amount	C2, C8	916
	<b>TotalTaxes</b> <TtlTaxes>	[0..1]	Amount	C2, C8	917
	<b>CommercialAgreementReference</b> <ComrcAgrmtRef>	[0..1]	Text		917
	<b>IndividualFee</b> <IndvFee>	[0..*]	±	C5	917
	<b>IndividualTax</b> <IndvTax>	[0..*]	±		918

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 54.4.5.19.16.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 54.4.5.19.16.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410



**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.19.16.3 TotalTaxes <TtITaxs>**

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C8 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**54.4.5.19.16.4 CommercialAgreementReference <ComrcIAgrmtRef>**

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

**54.4.5.19.16.5 IndividualFee <IndvFee>**

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C5 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee2" on page 1113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApIdAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApIdRate>	[0..1]	Rate		1120
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

#### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 54.4.5.19.16.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax31" on page 2310 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApldRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 54.4.5.19.17 InformativeTaxDetails <InftvTaxDtls>

*Presence:* [0..1]

*Definition:* Additional information about tax that does not have an impact on the transaction overhead.

*Impacted by:* C29 "TaxElementRule"

**InformativeTaxDetails <InftvTaxDtls>** contains the following elements (see "InformativeTax1" on page 2298 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <RcptId>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**54.4.5.19.18 SettlementAndCustodyDetails <SttlmAndCtdyDtls>**

*Presence:* [0..1]

*Definition:* Parameters used to execute the settlement of an investment fund order.

**SettlementAndCustodyDetails <SttlmAndCtdyDtls>** contains the following elements (see "FundSettlementParameters12" on page 2145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 54.4.5.19.19 PhysicalDeliveryIndicator <PhysDlvryInd>

*Presence:* [1..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 54.4.5.19.20 PhysicalDeliveryDetails <PhysDlvryDtls>

*Presence:* [0..1]

*Definition:* Information related to the physical delivery of the securities.

**PhysicalDeliveryDetails <PhysDlvryDtls>** contains the following elements (see ["DeliveryParameters3"](#) on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

#### 54.4.5.19.21 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text"](#) on page 2536

#### 54.4.5.19.22 Equalisation <Equlstn>

*Presence:* [0..1]

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive/performance fees at the end of the fiscal year.

**Equalisation <Equlstn>** contains the following elements (see ["Equalisation1"](#) on page 1642 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

**54.4.5.20 CashSettlementDetails <CshSttlmDtls>**

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.



**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "PaymentTransaction71" on page 1985 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			1988
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			1991
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			1993
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1995
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1999
Or	ChequeDetails <ChqDtls>	[1..1]			1999
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <PyeeId>	[1..1]	±		2000

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DraweeIdentification <Drweeld>	[0..1]	±		2000
	DrawerIdentification <Drwrlid>	[0..1]	±		2000
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2000
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <Pyeeld>	[1..1]	±		2001
	DraweeIdentification <Drweeld>	[0..1]	±		2001
	DrawerIdentification <Drwrlid>	[0..1]	±		2001
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2002
	AccountIdentification <Acctld>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2002
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2003
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007
Or	ChequeDetails <ChqDtls>	[1..1]			2007
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <Pyeeld>	[1..1]	±		2008
	DraweeIdentification <Drweeld>	[0..1]	±		2008
	DrawerIdentification <Drwrlid>	[0..1]	±		2008
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2009

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2009
	PayeeIdentification <PyeeId>	[1..1]	±		2009
	DraweeIdentification <DrweeId>	[0..1]	±		2009
	DrawerIdentification <DrwrId>	[0..1]	±		2010
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2010
	AccountIdentification <AcctId>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### 54.4.5.21 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "ForeignExchangeTerms33" on page 1337 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

#### 54.4.5.22 FinancialAdvice <FinAdvc>

*Presence:* [0..1]

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Datatype:* "FinancialAdvice1Code" on page 2442

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

#### 54.4.5.23 NegotiatedTrade <NgtdTrad>

*Presence:* [0..1]

*Definition:* Specifies whether the trade is negotiated.

*Datatype:* "NegotiatedTrade1Code" on page 2468

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

#### 54.4.5.24 LateReport <LateRpt>

*Presence:* [0..1]

*Definition:* Specifies whether the order execution confirmation is late.

*Datatype:* "LateReport1Code" on page 2465

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

#### 54.4.5.25 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 54.4.5.26 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 54.4.5.27 SignatureType <SgntrTp>

*Presence:* [0..1]

*Definition:* Type of signature.

**SignatureType <SgntrTp>** contains one of the following elements (see "SignatureType1Choice" on page 1685 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 54.4.5.28 OrderWaiverDetails <OrdWvrDtls>

*Presence:* [0..1]

*Definition:* Information about a non-standard order.

*Impacted by:* C31 "WaiverElementRule"

**OrderWaiverDetails <OrdrWvrDtls>** contains the following elements (see "[OrderWaiver1](#)" on page 1641 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdrWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

## 54.4.6 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "[CopyInformation4](#)" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 54.4.7 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* [C13 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see "[Extension1](#)" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 55      **setr.016.001.04**

## **OrderInstructionStatusReportV04**

### **55.1    MessageDefinition Functionality**

#### Scope

The OrderInstructionStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order from the time the executing party receives the order until the time the order is executed.

#### Usage

The OrderInstructionStatusReport message is used to report on the status of a subscription, redemption or a switch order.

The OrderInstructionStatusReport message may be used to give the status of:

- one order message by using OrderDetailsReport or,
- one or more individual order instructions by using IndividualOrderDetailsReport, or
- one or more switch orders by using SwitchOrderDetailsReport.

If the OrderInstructionStatusReport message is used to report the status of an individual order, then IndividualOrderDetailsReport is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of a switch order, then SwitchOrderDetailsReport is used and the order reference of the switch order is quoted in OrderReference. The message identification of the message in which the switch order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderInstructionStatusReport message is used to report the status of an entire order message, for example, the SubscriptionBulkOrder, or a SubscriptionOrder containing several orders, then OrderDetailsReport is used and the message identification of the order message is quoted in RelatedReference. All the orders within the message must have the same status.

One of the following statuses can be reported:

- an accepted status, or,
- an already executed status, or,
- a sent to next party status, or,
- a received status, or,
- a settled status, or,
- a communication problem with next party status, or,

- a confirmation amendment status, or,
- a done for the day status, or,
- a partially done status, or,
- an open status, or,
- a cancelled status, or
- a conditionally accepted status, or,
- a rejected status, or,
- a suspended status, or,
- a partially settled status, or,
- an in-repair status (only for an individual or switch order).

For a switch order, the OrderInstructionStatusReport message provides the status of the whole switch order, that is, it is not possible to accept one leg and to reject the other leg: the entire switch order has to be rejected. In order to identify the legs within the switch that are causing the problem, the leg is identified in either the RedemptionLegIdentification or SubscriptionLegIdentification elements.

When the OrderInstructionStatusReport is used to give the status of an individual or a switch order, the following can be specified:

- repaired conditions (for a switch, this is at the level of a leg),
- information related to the order, for example, settlement amount, number of units, expected trade date.

#### Outline

The OrderInstructionStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

##### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

##### B. Reference

Reference to the message or communication that was previously received.

##### C. StatusReport

Status of the order.

##### D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.



## 55.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrInstrStsRpt>	[1..1]		C14, C17	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		935
	<b>Reference</b> <Ref>	[0..1]	±		935
	<b>StatusReport</b> <StsRpt>	[1..1]	±		935
	<b>Extension</b> <Xtnsn>	[0..*]	±	C11	937

## 55.3 Constraints

### C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### C2 ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### C3 AdditionalInformationRule

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### C4 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C5 CancelledElementRule

Either Reason or AdditionalInformation must be present. Both may be present.

### C6 CommercialAgreementRule

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

### C7 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C8 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C9 CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**C10 DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

**C11 ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C12 FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

**C13 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C14 MessageNameAndReferenceGuideline**

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.001, setr.004, setr.007, setr.010, setr.013, setr.019 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C15 OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

**C16 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C17 OtherReferenceGuideline**

Reference/OtherReference should be used to reference an order instruction sent in a proprietary way or used for a system reference. If Reference/OtherReference is present, Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C18 RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**C19 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

**C20 SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

## 55.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 55.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 55.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References61Choice](#)" on page 1350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1351

### 55.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the order.

**StatusReport <StsRpt>** contains one of the following elements (see "Status24Choice" on page 2214 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdrDtlsRpt>	[1..1]	±		2216
Or	IndividualOrderDetailsReport <IndvOrdrDtlsRpt>	[1..*]			2217
	MasterReference <MstrRef>	[0..1]	Text		2217
	OrderReference <OrdrRef>	[1..1]	Text		2217
	ClientReference <CIntRef>	[0..1]	Text		2218
	DealReference <DealRef>	[0..1]	Text		2218
	CancellationReference <CxlRef>	[0..1]	Text		2218
	OrderStatus <OrdrSts>	[1..1]			2218
{Or	Status <Sts>	[1..1]	CodeSet		2218
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2219
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2220
Or	Rejected <Rjctd>	[1..10]	±	C18	2220
Or	Suspended <Sspd>	[1..1]	±		2221
Or	InRepair <InRpr>	[1..1]	±		2221
Or}	PartiallySettled <PrtlyStltd>	[1..1]	±		2221
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2222
	StatusInitiator <StsIntr>	[0..1]	±		2223
	OrderData <OrdrData>	[0..1]	±	C15	2223
	NewDetails <NewDtls>	[0..1]	±	C10	2224
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		2224
Or}	SwitchOrderDetailsReport <SwchOrdrDtlsRpt>	[1..*]			2224
	MasterReference <MstrRef>	[0..1]	Text		2225
	OrderReference <OrdrRef>	[1..1]	Text		2225
	ClientReference <CIntRef>	[0..1]	Text		2226
	DealReference <DealRef>	[0..1]	Text		2226
	CancellationReference <CxlRef>	[0..1]	Text		2226
	OrderStatus <OrdrSts>	[1..1]			2226
{Or	Status <Sts>	[1..1]	CodeSet		2226
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2227
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2228

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Rejected <Rjctd>	[1..10]	±	C18	2228
Or	Suspended <Sspd>	[1..1]	±		2228
Or	InRepair <InRpr>	[1..1]	±		2229
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2229
	LegInformation <LegInf>	[0..*]			2230
	LegIdentification <LegId>	[1..1]			2230
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2230
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2230
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2230
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2230
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2231
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2232
	StatusInitiator <StsInitr>	[0..1]	±		2233
	OrderData <OrdData>	[0..1]	±	C20	2233
	NewDetails <NewDtls>	[0..1]	±		2233

## 55.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 56      setr.017.001.04 OrderCancellationStatusReportV04

## 56.1    MessageDefinition Functionality

### Scope

The OrderCancellationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to report the status of an order cancellation request that was previously received.

### Usage

The OrderCancellationStatusReport message is used to provide the status of:

- one or more individual order cancellation requests by using IndividualCancellationStatusReport, or,
- an order cancellation request message by using CancellationStatusReport.

If the OrderCancellationStatusReport message is used to report the status of an individual order cancellation request, then the repetitive IndividualCancellationStatusReport sequence is used and the order reference of the individual order is quoted in OrderReference. The message identification of the message in which the individual order was conveyed may also be quoted in RelatedReference but this is not recommended.

If the OrderCancellationStatusReport message is used to report the status of an entire order cancellation request message, for example, the SubscriptionBulkOrderCancellationRequest, or a SubscriptionOrderCancellationRequest containing several orders, then the CancellationStatusReport sequence is used. The message identification of the order cancellation request message may also be quoted in RelatedReference but this is not recommended. All the order cancellation requests within the message must have the same status.

One of the following statuses can be reported:

- the order cancellation is pending, or,
- the order cancellation request is rejected, or,
- the order is cancelled.

When the cancellation is rejected, the reason for the rejection must be specified.

### Outline

The OrderCancellationStatusReportV04 MessageDefinition is composed of 4 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. Reference

Reference to the message or communication that was previously received.

#### C. StatusReport

Status of the order cancellation.

#### D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 56.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdxCxlStsRpt>	[1..1]		C5, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		940
	<b>Reference</b> <Ref>	[0..1]	±		940
	<b>StatusReport</b> <StsRpt>	[1..1]	±		940
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	941

## 56.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### C5 MessageNameAndReferenceGuideline

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.002, setr.005, setr.008, setr.011, setr.014 or setr.018 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

### C6 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C7 OtherReferenceGuideline**

OtherReference should be used to reference an order cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C8 ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

## 56.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 56.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 56.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "[References61Choice](#)" on page 1350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1351

### 56.4.3 StatusReport <StsRpt>

*Presence:* [1..1]

*Definition:* Status of the order cancellation.



**StatusReport <StsRpt>** contains one of the following elements (see "Status26Choice" on page 2209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <Cx/StsRpt>	[1..1]			2209
	MasterReference <MstrRef>	[0..1]	Text		2210
	CancellationStatus <Cx/Sts>	[1..1]	±		2210
	StatusInitiator <StsInitr>	[0..1]	±		2210
Or}	IndividualCancellationStatusReport <IndvCx/StsRpt>	[1..*]			2210
	MasterReference <MstrRef>	[0..1]	Text		2211
	OrderReference <OrdRef>	[1..1]	Text		2211
	ClientReference <CIntRef>	[0..1]	Text		2211
	CancellationReference <CxIRef>	[0..1]	Text		2211
	CancellationStatus <Cx/Sts>	[1..1]	±		2211
	StatusInitiator <StsInitr>	[0..1]	±		2212
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2212
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2212

## 56.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

### Constraints

- ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 57 setr.018.001.04 RequestForOrderStatusReportV04

## 57.1 MessageDefinition Functionality

### Scope

The RequestForOrderStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to request the status of one or more order instructions or order cancellation requests.

### Usage

The RequestForOrderStatusReport message is used to request the status of:

- one or several individual order instructions, or,
- one or several order messages, or
- one or several individual order cancellation requests, or,
- one or several order cancellation request messages.

The response to a RequestForOrderStatusReport message is the OrderInstructionStatusReport message or OrderCancellationStatusReport message.

If the RequestForOrderStatusReport message is used to request the status of several individual order instructions or one or more order instruction messages, then the instructing party may receive several OrderInstructionStatusReport messages from the executing party.

If the RequestForOrderStatusReport message is used to request the status of several individual order cancellation requests or one or more order cancellation messages, then the instructing party may receive several OrderCancellationStatusReport messages from the executing party.

When the RequestForOrderStatusReport is used to request the status of one or more individual orders or order cancellations, each individual order is identified with its order reference. The investment account and/or financial instrument related to the order can also be identified. The message identification of the message in which the individual order was conveyed may also be quoted in PreviousReference.

When the RequestForOrderStatusReport is used to request the status of an order message or an order cancellations request message, then the message identification of the order or cancellation message is identified in PreviousReference.

The RequestForOrderStatusReport message may not be used to request the status of an investment account, a transfer or the status of a financial instrument.

### Outline

The RequestForOrderStatusReportV04 MessageDefinition is composed of 3 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. RequestDetails

Information to identify the order(s) for which the status is requested.

C. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 57.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdrStsRpt>	[1..1]		C6, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		944
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C8	944
	<b>Reference</b> <Ref>	[0..1]	±		945
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		945
	<b>OrderReference</b> <OrdrRef>	[0..*]			946
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		946
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		946
	<b>ClientReference</b> <ClnRef>	[0..1]	Text		946
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		947
	<b>DealReference</b> <DealRef>	[0..1]	Text		947
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	947
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	947
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	948

## 57.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

**C4 IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**C5 OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C6 OtherReferenceGuideline**

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C7 PreviousReferenceGuideline**

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.001, setr.002, setr.004, setr.005, setr.007, setr.008, setr.010, setr.011, setr.013 or setr.014 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C8 ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

## 57.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 57.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 57.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the order(s) for which the status is requested.

Impacted by: C8 "ReferenceElementRule"

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]	±		945
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		945
	<b>OrderReference</b> <OrdrRef>	[0..*]			946
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		946
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		946
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		946
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		947
	<b>DealReference</b> <DealRef>	[0..1]	Text		947
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	947
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	947

#### Constraints

- **ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

#### 57.4.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**Reference <Ref>** contains one of the following elements (see "References62Choice" on page 1350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..2]	±		1350
Or}	<b>OtherReference</b> <OthrRef>	[1..2]	±		1350

#### 57.4.2.2 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 57.4.2.3 OrderReference <OrdrRef>

*Presence:* [0..\*]

*Definition:* Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.

**OrderReference <OrdrRef>** contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		946
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		946
	<b>ClientReference</b> <CintRef>	[0..1]	Text		946
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		947
	<b>DealReference</b> <DealRef>	[0..1]	Text		947
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	947
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	947

#### 57.4.2.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2536

#### 57.4.2.3.2 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 57.4.2.3.3 ClientReference <CintRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* ["Max35Text"](#) on page 2536

**57.4.2.3.4 CancellationReference <CxlRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

**57.4.2.3.5 DealReference <DealRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

**57.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>**

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction or individual order cancellation request for which the status is requested.

*Impacted by:* C5 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**57.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

## 57.4.3 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



# 58      setr.047.001.02 SubscriptionOrderConfirmationCancellationInstructionV02

## 58.1    MessageDefinition Functionality

### Scope

The SubscriptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription order confirmation cancellation is to be followed by an amendment. An amendment of a subscription order confirmation is carried out by sending a SubscriptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The SubscriptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. AmendmentIndicator  
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences  
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

## 58.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptOrdrConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		950
	<b>PoolReference</b> <PoolRef>	[0..1]	±		951
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		951
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		951
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		952
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		952
	<b>OrderReferences</b> <OrdrRefs>	[1..*]			952
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		952
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		953
	<b>DealReference</b> <DealRef>	[0..1]	Text		953
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		953
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		953
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		953

## 58.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 58.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 58.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 58.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 58.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 58.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 58.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 58.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

## 58.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		952
	<b>ClientReference</b> <ClnRef>	[0..1]	Text		953
	<b>DealReference</b> <DealRef>	[0..1]	Text		953
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		953
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		953

### 58.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 58.4.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 58.4.7.3 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 58.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 58.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation of the confirmation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

### 58.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

# 59 setr.049.001.02 SubscriptionBulkOrderConfirmationCancellationInstructionV02

## 59.1 MessageDefinition Functionality

### Scope

The SubscriptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SubscriptionBulkOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SubscriptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SubscriptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the subscription bulk order confirmation cancellation is to be followed by an amendment. An amendment of a subscription bulk order confirmation is carried out by sending a SubscriptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The SubscriptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. PoolReference

Collective reference identifying a set of messages.

C. PreviousReference

Reference to a linked message that was previously sent.

D. RelatedReference

Reference to a linked message that was previously received.

E. AmendmentIndicator

Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

F. MasterReference

Reference assigned to a set of orders or trades in order to link them together.

G. OrderReferences

Identification of the individual order confirmation to be cancelled.

## H. CopyDetails

Message is a copy.

## 59.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SbcptBlkOrdConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		955
	<b>PoolReference</b> <PoolRef>	[0..1]	±		956
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		956
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		956
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		957
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		957
	<b>OrderReferences</b> <OrdRefs>	[1..*]			957
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		957
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		958
	<b>DealReference</b> <DealRef>	[0..1]	Text		958
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		958
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		958
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		958

## 59.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 59.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 59.4.1 MessageIdentification <MsgId>

Presence: [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 59.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 59.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 59.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.



**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 59.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 59.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

## 59.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		957
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		958
	<b>DealReference</b> <DealRef>	[0..1]	Text		958
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		958
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		958

### 59.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 59.4.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 59.4.7.3 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 59.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 59.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation of the confirmation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

### 59.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Message is a copy.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

# 60 setr.051.001.02 RedemptionOrderConfirmationCancellationInstructionV02

## 60.1 MessageDefinition Functionality

### Scope

The RedemptionOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The RedemptionOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. AmendmentIndicator  
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences  
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

## 60.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <RedOrdConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		960
	<b>PoolReference</b> <PoolRef>	[0..1]	±		961
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		961
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		961
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		962
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		962
	<b>OrderReferences</b> <OrdRefs>	[1..*]			962
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		962
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		963
	<b>DealReference</b> <DealRef>	[0..1]	Text		963
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		963
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		963
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		963

## 60.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 60.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 60.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 60.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 60.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 60.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 60.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 60.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2536

## 60.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		962
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		963
	<b>DealReference</b> <DealRef>	[0..1]	Text		963
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		963
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		963

### 60.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 60.4.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 60.4.7.3 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 60.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 60.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation of the confirmation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

### 60.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

# 61 setr.053.001.02 RedemptionBulkOrderConfirmationCancellationInstructionV02

## 61.1 MessageDefinition Functionality

### Scope

The RedemptionBulkOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent RedemptionBulkOrderConfirmation.

### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original RedemptionBulkOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the RedemptionBulkOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the redemption order confirmation cancellation is to be followed by an amendment. An amendment of a redemption order confirmation is carried out by sending a RedemptionBulkOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

### Outline

The RedemptionBulkOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. AmendmentIndicator  
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences  
Identification of the individual order confirmation to be cancelled.



## H. CopyDetails

Information provided when the message is a copy of a previous message.

## 61.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <RedBlkOrdRConfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		965
	<b>PoolReference</b> <PoolRef>	[0..1]	±		966
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		966
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		966
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		967
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		967
	<b>OrderReferences</b> <OrdRRefs>	[1..*]			967
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		967
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		968
	<b>DealReference</b> <DealRef>	[0..1]	Text		968
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		968
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		968
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		968

## 61.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 61.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 61.4.1 MessageIdentification <MsgId>

Presence: [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 61.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "AdditionalReference9" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 61.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 61.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 61.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 61.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

## 61.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		967
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		968
	<b>DealReference</b> <DealRef>	[0..1]	Text		968
	<b>CancellationReference</b> <CxIRef>	[0..1]	Text		968
	<b>CancellationReason</b> <CxIRsn>	[0..1]	±		968

### 61.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 61.4.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 61.4.7.3 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 61.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 61.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation of the confirmation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

### 61.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 62 setr.055.001.02 SwitchOrderConfirmationCancellationInstructionV02

### 62.1 MessageDefinition Functionality

#### Scope

The SwitchOrderConfirmationCancellationInstruction message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to cancel a previously sent SwitchOrderConfirmation.

#### Usage

To request the cancellation of one or more individual order executions, the order reference and deal reference of each individual order execution in the original SwitchOrderConfirmation are specified in the order reference and deal reference elements respectively. The message identification of the SwitchOrderConfirmation message in which the individual order execution was conveyed may also be quoted in PreviousReference but this is not recommended. The AmendmentIndicator is used to specify whether the switch order confirmation cancellation is to be followed by an amendment. An amendment of a switch order confirmation is carried out by sending a SwitchOrderConfirmation message in which the AmendmentIndicator contains the value 'true'.

#### Outline

The SwitchOrderConfirmationCancellationInstructionV02 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. MessageIdentification  
Reference that uniquely identifies the message from a business application standpoint.
- B. PoolReference  
Collective reference identifying a set of messages.
- C. PreviousReference  
Reference to a linked message that was previously sent.
- D. RelatedReference  
Reference to a linked message that was previously received.
- E. AmendmentIndicator  
Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.
- F. MasterReference  
Reference assigned to a set of orders or trades in order to link them together.
- G. OrderReferences  
Identification of the individual order confirmation to be cancelled.
- H. CopyDetails

Information provided when the message is a copy of a previous message.

## 62.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root</i> <Document> <SwchOrdrcnfCxlInstr>	[1..1]			
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		970
	<b>PoolReference</b> <PoolRef>	[0..1]	±		971
	<b>PreviousReference</b> <PrvsRef>	[0..*]	±		971
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		971
	<b>AmendmentIndicator</b> <AmdmntInd>	[1..1]	Indicator		972
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		972
	<b>OrderReferences</b> <OrdrcRefs>	[1..*]			972
	<b>OrderReference</b> <OrdrcRef>	[1..1]	Text		972
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		973
	<b>DealReference</b> <DealRef>	[0..1]	Text		973
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		973
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		973
	<b>CopyDetails</b> <CpyDtls>	[0..1]	±		973

## 62.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

## 62.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 62.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 62.4.2 PoolReference <PoolRef>

*Presence:* [0..1]

*Definition:* Collective reference identifying a set of messages.

**PoolReference <PoolRef>** contains the following elements (see "[AdditionalReference9](#)" on page 1352 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

## 62.4.3 PreviousReference <PrvsRef>

*Presence:* [0..\*]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 62.4.4 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

## 62.4.5 AmendmentIndicator <AmdmntInd>

*Presence:* [1..1]

*Definition:* Indicates whether a confirmation amendment message will follow the confirmation cancellation instruction or not.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 62.4.6 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* ["Max35Text"](#) on page 2536

## 62.4.7 OrderReferences <OrdRefs>

*Presence:* [1..\*]

*Definition:* Identification of the individual order confirmation to be cancelled.

**OrderReferences <OrdRefs>** contains the following **InvestmentFundOrder11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OrderReference</b> <OrdRef>	[1..1]	Text		972
	<b>ClientReference</b> <ClnRef>	[0..1]	Text		973
	<b>DealReference</b> <DealRef>	[0..1]	Text		973
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		973
	<b>CancellationReason</b> <CxlRsn>	[0..1]	±		973

### 62.4.7.1 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* ["Max35Text"](#) on page 2536



#### 62.4.7.2 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 62.4.7.3 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 62.4.7.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order confirmation cancellation, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 62.4.7.5 CancellationReason <CxlRsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation of the confirmation.

**CancellationReason <CxlRsn>** contains one of the following elements (see "CancellationReason31Choice" on page 2234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

### 62.4.8 CopyDetails <CpyDtls>

*Presence:* [0..1]

*Definition:* Information provided when the message is a copy of a previous message.

**CopyDetails <CpyDtls>** contains the following elements (see "CopyInformation4" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

## 63      **setr.057.001.02** **OrderConfirmationStatusReportV02**

### 63.1    **MessageDefinition Functionality**

#### Scope

The OrderConfirmationStatusReport message is sent by an instructing party, for example, an investment manager or its authorised representative, to the executing party, for example, a transfer agent, to report the status of an order confirmation or an order confirmation amendment.

#### Usage

The OrderConfirmationStatusReport message is used to report on the status of one or more individual:

- subscription confirmations,
- subscription confirmation amendments,
- redemption confirmations,
- redemption confirmation amendments,
- switch order confirmations,
- switch order confirmation amendments.

One of the following statuses can be reported:

- confirmation rejected, or,
- amendment rejected, or,
- sent to next party, or,
- communication problem with next party, or,
- confirmation accepted, or,
- confirmation received.

It is likely that the OrderConfirmationStatusReport is only sent by the order instructing party to the order executing party to reject an order confirmation or to reject an order confirmation amendment, although if an intermediary party is used, the statuses sent to next party and communication problem with next party are also likely be used. The statuses confirmation accepted and confirmation received would only be used in the event the order executing party sends a RequestForOrderConfirmationStatusReport message and one of the other statuses does not apply.

If the status being reported is either confirmation rejected or amendment rejected, then a reason for the rejection must be given.

The individual order confirmation or confirmation amendment for which the status is given is identified with its order reference. The message identification of the message in which the individual order

confirmation or confirmation amendment was conveyed may also be quoted in RelatedReference, but this is not recommended.

#### Outline

The OrderConfirmationStatusReportV02 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

B. Reference

Reference to the message or communication that was previously received.

C. IndividualOrderConfirmationDetailsReport

Status report details of an individual order confirmation.

D. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 63.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <OrdrConfStsRpt>	[1..1]		C5, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		976
	<b>Reference</b> <Ref>	[0..1]	±		977
	<b>IndividualOrderConfirmationDetailsReport</b> <IndvOrdrConfDtlsRpt>	[1..*]			977
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		978
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		978
	<b>Confirmation</b> <Conf>	[1..1]			978
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	978
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	978
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		979
	<b>ClientReference</b> <CIntRef>	[0..1]	Text		979
	<b>DealReference</b> <DealRef>	[0..1]	Text		979
	<b>StatusInitiator</b> <StsInitr>	[0..1]	±		980
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C6	980
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	980
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	981

## 63.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### C5 MessageNameAndReferenceGuideline

If Reference/RelatedReference/MessageName or Reference/OtherReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, setr.055, setr.058 and Reference/RelatedReference/Reference must contain the message reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

### C6 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### C7 OtherReferenceGuideline

OtherReference should be used to reference an order confirmation cancellation 'message' sent in a proprietary way or used for a system reference. If OtherReference is present, OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

### C8 ReasonElementRule

Either Reason or AdditionalInformation must be present. Both may be present.

### C9 SeriesElementRule

Either SeriesDate or SeriesName must be present. Both may be present.

## 63.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 63.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

## 63.4.2 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to the message or communication that was previously received.

**Reference <Ref>** contains one of the following elements (see "References61Choice" on page 1350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1351

## 63.4.3 IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>

*Presence:* [1..\*]

*Definition:* Status report details of an individual order confirmation.

**IndividualOrderConfirmationDetailsReport <IndvOrdrConfDtlsRpt>** contains the following **IndividualOrderConfirmationStatusAndReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		978
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		978
	<b>Confirmation</b> <Conf>	[1..1]			978
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	978
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	978
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		979
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		979
	<b>DealReference</b> <DealRef>	[0..1]	Text		979
	<b>StatusInitiator</b> <StsIntr>	[0..1]	±		980
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C6	980
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	980

### 63.4.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

### 63.4.3.2 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

### 63.4.3.3 Confirmation <Conf>

*Presence:* [1..1]

*Definition:* Status of the order confirmation cancellation.

**Confirmation <Conf>** contains one of the following **ConfirmationStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ConfirmationRejected</b> <ConfRjctd>	[1..10]	±	C8	978
Or	<b>AmendmentRejected</b> <AmdmntRjctd>	[1..10]	±	C8	978
Or}	<b>Status</b> <Sts>	[1..1]	CodeSet		979

#### 63.4.3.3.1 ConfirmationRejected <ConfRjctd>

*Presence:* [1..10]

*Definition:* Status of the order confirmation is rejected.

*Impacted by:* C8 "ReasonElementRule"

**ConfirmationRejected <ConfRjctd>** contains the following elements (see "ConfirmationRejectedStatus2" on page 2235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2236
{Or	Code <Cd>	[1..1]	CodeSet		2236
Or}	Proprietary <Prtry>	[1..1]	±		2238
	AdditionalInformation <AddtlInf>	[0..1]	Text		2239

#### Constraints

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 63.4.3.3.2 AmendmentRejected <AmdmntRjctd>

*Presence:* [1..10]

*Definition:* Status of the order confirmation amendment is rejected.

*Impacted by:* C8 "ReasonElementRule"

**AmendmentRejected <AmdmntRjctd>** contains the following elements (see "ConfirmationRejectedStatus2" on page 2235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2236
{Or	Code <Cd>	[1..1]	CodeSet		2236
Or}	Proprietary <Prtry>	[1..1]	±		2238
	AdditionalInformation <AddtlInf>	[0..1]	Text		2239

#### Constraints

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 63.4.3.3.3 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the order confirmation is accepted or received or sent to next party or there is a communication problem with next party. There is no reason attached.

*Datatype:* "OrderConfirmationStatus1Code" on page 2469

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

#### 63.4.3.4 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of an order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 63.4.3.5 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

### 63.4.3.6 StatusInitiator <StsIntr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order confirmation.

**StatusInitiator <StsIntr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

### 63.4.3.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order confirmation for which the status is given.

*Impacted by:* [C6 "OrderOriginatorEligibility2Rule"](#)

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "[InvestmentAccount58](#)" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### 63.4.3.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order confirmation for which the status is given.

*Impacted by:* [C4 "IdentificationGuideline"](#)



**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

## 63.4.4 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

# 64 setr.058.001.02 RequestForOrderConfirmationStatusReportV 02

## 64.1 MessageDefinition Functionality

### Scope

The RequestForOrderConfirmationStatusReport message is sent by an executing party, for example, a transfer agent, to the instructing party, for example, an investment manager or its authorised representative, to request the status of one or more order confirmations.

### Usage

The RequestForOrderConfirmationStatusReport message is used to request the status of either:

- one or several individual order confirmations, or,
- one or several order confirmation messages.

The response to a RequestForOrderConfirmationStatusReport message is the OrderConfirmationStatusReport message.

When the RequestForOrderConfirmationStatusReport message is used to request the status of several individual order confirmations or one or more order confirmation messages, the executing party may receive several OrderConfirmationStatusReport messages from the instructing party.

When the RequestForOrderConfirmationStatusReport is used to request the status of one or more individual order confirmations, each individual order confirmation is identified with its order reference. The message identification of the message in which the individual order confirmation was conveyed may also be quoted in PreviousReference.

When the RequestForOrderConfirmationStatusReport is used to request the status of an order confirmation message, then the message identification of the order confirmation message is identified in PreviousReference.

### Outline

The RequestForOrderConfirmationStatusReportV02 MessageDefinition is composed of 3 MessageBuildingBlocks:

#### A. MessageIdentification

Reference that uniquely identifies the message from a business application standpoint.

#### B. RequestDetails

Information to identify the order confirmation for which the status is requested.

#### C. Extension

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 64.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ReqForOrdRConfStsRpt>	[1..1]		C6, C7	
	<b>MessageIdentification</b> <MsgId>	[1..1]	±		984
	<b>RequestDetails</b> <ReqDtls>	[1..*]		C8	984
	<b>Reference</b> <Ref>	[0..1]	±		985
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		985
	<b>OrderReference</b> <OrdRRef>	[0..*]			986
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		986
	<b>OrderReference</b> <OrdRRef>	[1..1]	Text		986
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		986
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		986
	<b>DealReference</b> <DealRef>	[0..1]	Text		986
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	987
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	987
	<b>Extension</b> <Xtnsn>	[0..*]	±	C3	988

## 64.3 Constraints

### C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### C3 ExtensionRule

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### C4 IdentificationGuideline

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### C5 OrderOriginatorEligibility2Rule

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**C6 OtherReferenceGuideline**

RequestDetails/Reference/OtherReference should be used to reference an order instruction or cancellation 'message' sent in a proprietary way or used for a system reference. If RequestDetails/Reference/OtherReference is present, RequestDetails/Reference/OtherReference/MessageName must contain 'fax' or 'phone' or 'email', etc.

*This constraint is defined at the MessageDefinition level.*

**C7 PreviousReferenceGuideline**

If RequestDetails/Reference/PreviousReference/MessageName is present, it must contain 502 or must start with setr.047, setr.049, setr.051, setr.053, or setr.055 and RequestDetails/Reference/PreviousReference/Reference must contain the reference of a message in this list.

*This constraint is defined at the MessageDefinition level.*

**C8 ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

**C9 SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

## 64.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 64.4.1 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Reference that uniquely identifies the message from a business application standpoint.

**MessageIdentification <MsgId>** contains the following elements (see "[MessageIdentification1](#)" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

### 64.4.2 RequestDetails <ReqDtls>

*Presence:* [1..\*]

*Definition:* Information to identify the order confirmation for which the status is requested.

*Impacted by:* [C8 "ReferenceElementRule"](#)

**RequestDetails <ReqDtls>** contains the following **MessageAndBusinessReference10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[0..1]	±		985
	<b>RelatedReference</b> <RltdRef>	[0..1]	±		985
	<b>OrderReference</b> <OrdrRef>	[0..*]			986
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		986
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		986
	<b>ClientReference</b> <ClntRef>	[0..1]	Text		986
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		986
	<b>DealReference</b> <DealRef>	[0..1]	Text		986
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	987
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	987

#### Constraints

- **ReferenceElementRule**

One of the elements (Reference, RelatedReference, OrderReference) must be present.

#### 64.4.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously sent.

**Reference <Ref>** contains one of the following elements (see "[References62Choice](#)" on page 1350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1350

#### 64.4.2.2 RelatedReference <RltdRef>

*Presence:* [0..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference8](#)" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 64.4.2.3 OrderReference <OrdrRef>

*Presence:* [0..\*]

*Definition:* Unique and unambiguous identifiers of one or more individual order instructions or individual order cancellation requests.

**OrderReference <OrdrRef>** contains the following **InvestmentFundOrder8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MasterReference</b> <MstrRef>	[0..1]	Text		986
	<b>OrderReference</b> <OrdrRef>	[1..1]	Text		986
	<b>ClientReference</b> <CintRef>	[0..1]	Text		986
	<b>CancellationReference</b> <CxlRef>	[0..1]	Text		986
	<b>DealReference</b> <DealRef>	[0..1]	Text		986
	<b>InvestmentAccountDetails</b> <InvstmtAcctDtls>	[0..1]	±	C5	987
	<b>FinancialInstrumentDetails</b> <FinInstrmDtls>	[0..1]	±	C4	987

#### 64.4.2.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 64.4.2.3.2 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 64.4.2.3.3 ClientReference <CintRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 64.4.2.3.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 64.4.2.3.5 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 64.4.2.3.6 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction or individual order cancellation request for which the status is requested.

*Impacted by:* C5 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 64.4.2.3.7 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order or individual order cancellation request for which the status is requested.

*Impacted by:* C4 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

## 64.4.3 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C3 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.



## 65 Message Items Types

### 65.1 MessageComponents

#### 65.1.1 Account

##### 65.1.1.1 SecuritiesAccount19

*Definition:* Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		989
	Type <Tp>	[0..1]	±		989
	Name <Nm>	[0..1]	Text		989

##### 65.1.1.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

##### 65.1.1.1.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Specifies the type of securities account.

**Type <Tp>** contains the following elements (see "GenericIdentification30" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

##### 65.1.1.1.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Description of the account.

*Datatype:* "Max70Text" on page 2537

##### 65.1.1.2 GenericAccountIdentification1

*Definition:* Information related to a generic account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max34Text" on page 2536

#### 65.1.1.2.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **AccountSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990

##### 65.1.1.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* "ExternalAccountIdentification1Code" on page 2440

##### 65.1.1.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* "Max35Text" on page 2536

#### 65.1.1.2.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 2536

#### 65.1.1.3 ConfirmationType1Choice

*Definition:* Choice of formats for a confirmation type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		991
Or}	Proprietary <Prtry>	[1..1]	±		991

#### 65.1.1.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Confirmation type expressed as a code.

*Datatype:* "AccountManagementType2Code" on page 2413

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

#### 65.1.1.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Confirmation type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.1.4 AccountOpeningType1Choice

*Definition:* Choice of formats for the account opening type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		991
Or}	Proprietary <Prtry>	[1..1]	±		992

#### 65.1.1.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of account opening instruction expressed as a code.

*Datatype:* "AccountOpeningType1Code" on page 2413

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

#### 65.1.1.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of account opening instruction expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.1.5 Account23

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		992
	RelatedAccountDetails <RltdAcctDtls>	[0..1]	±		992

##### 65.1.1.5.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Identification of the account.

*Datatype:* "[Max35Text](#)" on page 2536

##### 65.1.1.5.2 RelatedAccountDetails <RltdAcctDtls>

*Presence:* [0..1]

*Definition:* Information about the account to which the existing account is to be linked.

**RelatedAccountDetails <RltdAcctDtls>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.1.6 AccountType2Choice

*Definition:* Choice of formats for the specification of the type of account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.1.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of account expressed as a code.

*Datatype:* "FundCashAccount4Code" on page 2443

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

#### 65.1.1.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.2 Account Identification

### 65.1.2.1 Account7

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		994
	AccountServicer <AcctSvcr>	[0..1]	±		994

#### 65.1.2.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 65.1.2.1.2 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution servicing an account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

### 65.1.2.2 InvestmentAccount69

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		995
	Designation <Dsgnt>	[0..1]	Text		995
	AccountName <AcctNm>	[0..1]	Text		995
	Servicer <Svcr>	[0..1]	±		995

#### 65.1.2.2.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.2.2.2 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 65.1.2.2.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.2.2.4 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**Servicer <Svcr>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

### 65.1.2.3 CashAccount202

*Definition:* Account to or from which a cash entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C2	996
	PrimaryAccount <PmryAcct>	[0..1]			996
	AccountIdentification <AcctId>	[1..1]	±		997
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	997
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		997
	SecondaryAccount <ScndryAcct>	[0..1]			997
	AccountIdentification <AcctId>	[1..1]	±		998
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	998
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		998

#### 65.1.2.3.1 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the settlement.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.2.3.2 PrimaryAccount <PmryAcct>

*Presence:* [0..1]



*Definition:* Cash account for settlement.

**PrimaryAccount <PmryAcct>** contains the following **CashAccount203** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		997
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	997
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		997

#### 65.1.2.3.2.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.2.3.2.2 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is, manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2522

#### 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.

#### 65.1.2.3.2.3 AccountTypeDescription <AcctTpDesc>

*Presence:* [0..1]

*Definition:* Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.2.3.3 SecondaryAccount <ScndryAcct>

*Presence:* [0..1]

*Definition:* Sub-division of a master or omnibus cash account.

**SecondaryAccount <ScndryAcct>** contains the following **CashAccount203** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	±		998
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	998
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		998

#### 65.1.2.3.3.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.2.3.3.2 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is, manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2522

#### 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.

#### 65.1.2.3.3.3 AccountTypeDescription <AcctTpDesc>

*Presence:* [0..1]

*Definition:* Additional means of identification of the account, as designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.2.4 SubAccountIdentification3

*Definition:* Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		999
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		999
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		999
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	999

#### 65.1.2.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpIId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 65.1.2.4.2 FungibleIndicator <Fngblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.2.4.3 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.2.4.4 BalanceForSubAccount <BalForSubAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

Impacted by: C1 "AccruedInterestAmountSignRule", C6 "BalanceAtSafekeepingPlaceRule"

**BalanceForSubAccount <BalForSubAcct>** contains the following elements (see "AggregateBalanceInformation3" on page 1027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1028
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1028
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1028
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1028
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1029
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1029
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1029
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1030
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1030
	PriceDetails <PricDtls>	[1..*]	±	C15	1031
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1032
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1032
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1032
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1033

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

### 65.1.2.5 SubAccountIdentification5

*Definition:* Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1001
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1001
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1001
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1001

#### 65.1.2.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmpId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 65.1.2.5.2 FungibleIndicator <Engblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.2.5.3 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.2.5.4 BalanceForSubAccount <BalForSubAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* [C1 "AccruedInterestAmountSignRule"](#), [C8 "BalanceAtSafekeepingPlaceRule"](#), [C5 "AggregateQuantityGuideline"](#)

**BalanceForSubAccount <BalForSubAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1033 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1035
	AvailableQuantity <AvlblQty>	[0..1]	±		1035
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1035
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1036
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1036
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1037
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1037
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1037
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1038
	PriceDetails <PricDtls>	[0..*]	±	C15	1038
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1039
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1039
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1040
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1040
	AggregateQuantity <AggtQty>	[1..1]	±		1041
	AvailableQuantity <AvlblQty>	[0..1]	±		1042
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1042
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1042
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1042
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1043
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1044
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1044
	PriceDetails <PricDtls>	[0..*]	±	C15	1044
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1045
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1045

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1046

**Constraints**

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**65.1.2.6 AccountIdentificationAndName5**

*Definition:* Identification of the account expressed with a name and an account number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.2.6.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentification4Choice](#)" on page 1006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1006
Or}	Other <Othr>	[1..1]	±		1006

**65.1.2.6.2 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.2.7 SubAccount5

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.2.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.2.7.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.2.7.3 Characteristic <Chrtc>

*Presence:* [0..1]

*Definition:* Specifies additional properties of the account.

*Datatype:* "Max35Text" on page 2536

### 65.1.2.8 AccountIdentificationFormatChoice

*Definition:* Choice between formats for account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 65.1.2.8.1 SimpleIdentification <SmplId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.



**SimpleIdentification <SmpId>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 65.1.2.8.2 IdentificationAndPurpose <IdAndPurp>

*Presence:* [1..1]

*Definition:* Identification of the account expressed with an account number and a code.

**IdentificationAndPurpose <IdAndPurp>** contains the following **AccountIdentificationAndPurpose** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005

##### 65.1.2.8.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

##### 65.1.2.8.2.2 Purpose <Purp>

*Presence:* [1..1]

*Definition:* Specifies the purpose of the account.

*Datatype:* "[SecuritiesAccountPurposeType1Code](#)" on page 2493

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.

CodeName	Name	Definition
PHYS	Physical	Account is used for physical domestic safekeeping.

### 65.1.2.8.3 IdentificationAsDSS <IdAsDSS>

*Presence:* [1..1]

*Definition:* Identification of the account expressed with a data source scheme, a code used within the data source scheme and the account identification.

**IdentificationAsDSS <IdAsDSS>** contains the following elements (see "[AccountIdentification3](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1007
	Issuer <Issr>	[1..1]	Text		1007
	Information <Inf>	[1..1]	Text		1007

### 65.1.2.9 AccountIdentification4Choice

*Definition:* Specifies the unique identification of an account as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C16	1006
Or}	Other <Othr>	[1..1]	±		1006

#### 65.1.2.9.1 IBAN <IBAN>

*Presence:* [1..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of a customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.2.9.2 Other <Othr>

*Presence:* [1..1]

*Definition:* Unique identification of an account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

### 65.1.2.10 AccountIdentification3

*Definition:* Identification of the account expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1007
	Issuer <Issr>	[1..1]	Text		1007
	Information <Inf>	[1..1]	Text		1007

#### 65.1.2.10.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 65.1.2.10.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the information.

*Datatype:* "[Max8Text](#)" on page 2537

#### 65.1.2.10.3 Information <Inf>

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

*Datatype:* "[Exact4AlphaNumericText](#)" on page 2534

### 65.1.2.11 AccountIdentification1

*Definition:* Unique identifier of an account, as assigned by the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

#### 65.1.2.11.1 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Unique identifier for an account. It is assigned by the account servicer using a proprietary identification scheme.

**Proprietary <Prtry>** contains the following elements (see "[SimpleIdentificationInformation](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361

### 65.1.3 Address

#### 65.1.3.1 CommunicationAddress6

*Definition:* Communication device number or electronic address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

##### 65.1.3.1.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Type of communication address.

**AddressType <AdrTp>** contains one of the following **AddressType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009

**65.1.3.1.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type expressed as a code.*Datatype:* "AddressType1Code" on page 2417

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

**65.1.3.1.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.3.1.2 Email <Email>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 2535**65.1.3.1.3 Phone <Phne>***Presence:* [0..1]*Definition:* Collection of information that identifies a phone number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2537**65.1.3.1.4 Mobile <Mob>***Presence:* [0..1]*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2537**65.1.3.1.5 FaxNumber <FaxNb>***Presence:* [0..1]*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 2537

**65.1.3.1.6 TelexAddress <TlxAdr>***Presence:* [0..1]*Definition:* Address for a telex machine.*Datatype:* "Max35Text" on page 2536**65.1.3.1.7 URLAddress <URLAdr>***Presence:* [0..1]*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.*Datatype:* "Max256Text" on page 2535**65.1.4 Amount****65.1.4.1 RoundingParameters1***Definition:* Parameters applied to a fractional number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1010
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1010

**65.1.4.1.1 RoundingModulus <RndgMdlus>***Presence:* [0..1]*Definition:* Float value specifying the value to which rounding is required, eg, 10 means round to a multiple of 10 units/shares, 0.5 means round to a multiple of 0.5 units/shares.*Datatype:* "DecimalNumber" on page 2533**65.1.4.1.2 RoundingDirection <RndgDrctn>***Presence:* [1..1]*Definition:* Rounding direction applied to fractional numbers, eg, round up.*Datatype:* "RoundingDirection1Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

**65.1.4.2 DateAndAmount2***Definition:* Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.4.2.1 Date <Dt>

*Presence:* [0..1]

*Definition:* Date on which the amount is declared or registered.

*Datatype:* "ISODate" on page 2521

#### 65.1.4.2.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.4.3 DateAndAmount1

*Definition:* Date and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

#### 65.1.4.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date on which the amount is declared or registered.

*Datatype:* "ISODate" on page 2521

#### 65.1.4.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.4.4 InitialAmount1Choice

*Definition:* Choice of an initial amount or number of pre-paid instalments.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitNbOfInstlmts>	[1..1]	Quantity		1012
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1012

#### 65.1.4.4.1 InitialNumberOfInstalments <InitNbOfInstlmts>

*Presence:* [1..1]

*Definition:* Number of pre-paid instalment periods at the time the investment plan is created.

*Datatype:* "Number" on page 2533

#### 65.1.4.4.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount to be paid or redeemed at the time the investment plan is created.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

## 65.1.5 Balance

### 65.1.5.1 AdditionalBalanceInformation2

*Definition:* Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

#### 65.1.5.1.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[SubBalanceQuantity1Choice](#)" on page 1048 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1048
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1048
Or}	QuantityAndAvailability <QtyAndAvlbtty>	[1..1]			1048
	Quantity <Qty>	[1..1]	±		1049
	AvailabilityIndicator <AvlbttyInd>	[1..1]	Indicator		1049

#### 65.1.5.1.2 SubBalanceType <SubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "SecuritiesBalanceType2Code" on page 2495

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).

CodeName	Name	Definition
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

### 65.1.5.1.3 ExtendedSubBalanceType <XtndedSubBalTp>

Presence: [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "Extended350Code" on page 2534

### 65.1.5.2 AccountingStatementOfHoldings2

*Definition:* Information about an accounting statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1015
	Reference <Ref>	[1..1]	Text		1015
	StatementDateTime <StmntDtTm>	[1..1]	±		1015
	CreationDateTime <CreDtTm>	[0..1]	±		1015
	Frequency <Frqcy>	[1..1]	±		1016
	UpdateType <UpdTp>	[1..1]	±		1016
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1016
	StatementBasis <StmntBsis>	[1..1]	±		1016
	ReportNumber <RptNb>	[0..1]	Text		1017
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1017
	AccountDetails <AcctDtls>	[0..1]	±		1017
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C6	1017
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1018
	TotalValues <TtlVals>	[0..1]	±		1019
	Extension <Xtnsn>	[0..*]	±	C16	1019

**Constraints**

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

**65.1.5.2.1 StatementGeneralDetails <StmtGnIDtls>**

*Presence:* [0..1]

*Definition:* General information related to the custody statement of holdings that is being cancelled.

**StatementGeneralDetails <StmtGnIDtls>** contains the following **Statement6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1015
	StatementDateTime <StmtDtTm>	[1..1]	±		1015
	CreationDateTime <CreDtTm>	[0..1]	±		1015
	Frequency <Frqcy>	[1..1]	±		1016
	UpdateType <UpdTp>	[1..1]	±		1016
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1016
	StatementBasis <StmtBsis>	[1..1]	±		1016
	ReportNumber <RptNb>	[0..1]	Text		1017
	AuditedIndicator <AudtdInd>	[1..1]	Indicator		1017

**65.1.5.2.1.1 Reference <Ref>**

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2536

**65.1.5.2.1.2 StatementDateTime <StmtDtTm>**

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.5.2.1.3 CreationDateTime <CreDtTm>**

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.5.2.1.4 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see ["FrequencyCodeAndDSSCode1Choice"](#) on page 2128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2128
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2129

#### 65.1.5.2.1.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see ["StatementUpdateTypeCodeAndDSSCodeChoice"](#) on page 2185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2185
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2186

#### 65.1.5.2.1.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.5.2.1.7 StatementBasis <StmntBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmtBsis>** contains one of the following elements (see ["StatementBasisCodeAndDSSCodeChoice"](#) on page 2184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2185
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2185

#### 65.1.5.2.1.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* ["Max5NumericText"](#) on page 2537

#### 65.1.5.2.1.9 AuditedIndicator <AudtdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the statement is audited.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.5.2.2 AccountDetails <AcctDtls>

*Presence:* [0..1]

*Definition:* The safekeeping or investment account of the statement that is being cancelled.

**AccountDetails <AcctDtls>** contains the following elements (see ["SafekeepingAccount2"](#) on page 1367 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1367
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1368
	Name <Nm>	[0..1]	Text		1368
	Designation <Dsgnt>	[0..1]	Text		1368
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1368
	AccountOwner <AcctOwnr>	[0..1]	±		1369
	AccountServicer <AcctSvcr>	[0..1]	±		1369

#### 65.1.5.2.3 BalanceForAccount <BalForAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* [C1 "AccruedInterestAmountSignRule"](#), [C6 "BalanceAtSafekeepingPlaceRule"](#)

**BalanceForAccount <BalForAcct>** contains the following elements (see ["AggregateBalanceInformation3"](#) on page 1027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1028
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1028
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1028
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1028
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1029
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1029
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1029
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1030
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1030
	PriceDetails <PricDtls>	[1..*]	±	C15	1031
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1032
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1032
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1032
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1033

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

#### 65.1.5.2.4 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* The sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see ["SubAccountIdentification3"](#) on page 998 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		999
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		999
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		999
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C6	999

### 65.1.5.2.5 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see ["TotalValueInPageAndStatement"](#) on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1026
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1026

### 65.1.5.2.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### 65.1.5.3 CustodyStatementOfHoldings2

*Definition:* Information about a custody statement of holdings.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementGeneralDetails <StmntGnlDtls>	[0..1]			1020
	Reference <Ref>	[1..1]	Text		1021
	StatementDateTime <StmntDtTm>	[1..1]	±		1021
	CreationDateTime <CreDtTm>	[0..1]	±		1021
	Frequency <Frqcy>	[1..1]	±		1021
	UpdateType <UpdTp>	[1..1]	±		1022
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1022
	StatementBasis <StmntBsis>	[1..1]	±		1022
	ReportNumber <RptNb>	[0..1]	Text		1022
	AccountDetails <AcctDtls>	[0..1]	±		1023
	BalanceForAccount <BalForAcct>	[0..*]	±	C1, C8, C5	1023
	SubAccountDetails <SubAcctDtls>	[0..*]	±		1025
	TotalValues <TtlVals>	[0..1]	±		1025
	Extension <Xtnsn>	[0..*]	±	C16	1025

### Constraints

- **BalanceForAccountOrSubAccountDetailsRule**

If StatementGeneralDetails/ActivityIndicator is "true" or "1" (Yes), then either BalanceForAccount or SubAccountDetails is mandatory. If StatementGeneralDetails/ActivityIndicator is "false" or "0" (No), then BalanceForAccount and SubAccountDetails may be present.

#### 65.1.5.3.1 StatementGeneralDetails <StmntGnlDtls>

*Presence:* [0..1]

*Definition:* General information related to the custody statement of holdings that is being cancelled.



**StatementGeneralDetails <StmtGnlDtls>** contains the following **Statement7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1021
	StatementDateTime <StmtDtTm>	[1..1]	±		1021
	CreationDateTime <CreDtTm>	[0..1]	±		1021
	Frequency <Frqcy>	[1..1]	±		1021
	UpdateType <UpdTp>	[1..1]	±		1022
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1022
	StatementBasis <StmtBsis>	[1..1]	±		1022
	ReportNumber <RptNb>	[0..1]	Text		1022

#### 65.1.5.3.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* "Max35Text" on page 2536

#### 65.1.5.3.1.2 StatementDateTime <StmtDtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.5.3.1.3 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Preparation date of the statement.

**CreationDateTime <CreDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.5.3.1.4 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "[FrequencyCodeAndDSSCode1Choice](#)" on page 2128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2128
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2129

#### 65.1.5.3.1.5 UpdateType <UpdTp>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "[StatementUpdateTypeCodeAndDSSCodeChoice](#)" on page 2185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2185
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2186

#### 65.1.5.3.1.6 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or information update reported in the statement.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.5.3.1.7 StatementBasis <StmntBsis>

*Presence:* [1..1]

*Definition:* Type of balance on which the statement is prepared.

**StatementBasis <StmntBsis>** contains one of the following elements (see "[StatementBasisCodeAndDSSCodeChoice](#)" on page 2184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmntBsisAsCd>	[1..1]	CodeSet		2185
Or}	StatementBasisAsDSS <StmntBsisAsDSS>	[1..1]	±		2185

#### 65.1.5.3.1.8 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* "[Max5NumericText](#)" on page 2537

### 65.1.5.3.2 AccountDetails <AcctDtls>

*Presence:* [0..1]

*Definition:* Safekeeping or investment account of the statement that is being cancelled.

**AccountDetails <AcctDtls>** contains the following elements (see ["SafekeepingAccount2"](#) on page 1367 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1367
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1368
	Name <Nm>	[0..1]	Text		1368
	Designation <Dsgnt>	[0..1]	Text		1368
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1368
	AccountOwner <AcctOwnr>	[0..1]	±		1369
	AccountServicer <AcctSvcr>	[0..1]	±		1369

### 65.1.5.3.3 BalanceForAccount <BalForAcct>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

*Impacted by:* C1 "AccruedInterestAmountSignRule", C8 "BalanceAtSafekeepingPlaceRule", C5 "AggregateQuantityGuideline"

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateBalanceInformation4" on page 1033 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1035
	AvailableQuantity <AvlblQty>	[0..1]	±		1035
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1035
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1036
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1036
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1037
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1037
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1037
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1038
	PriceDetails <PricDtls>	[0..*]	±	C15	1038
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1039
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1039
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1040
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1040
	AggregateQuantity <AggtQty>	[1..1]	±		1041
	AvailableQuantity <AvlblQty>	[0..1]	±		1042
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1042
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1042
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1042
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1043
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1044
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1044
	PriceDetails <PricDtls>	[0..*]	±	C15	1044
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1045
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1045

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1046

#### Constraints

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

#### 65.1.5.3.4 SubAccountDetails <SubAcctDtls>

*Presence:* [0..\*]

*Definition:* Sub-account of the safekeeping or investment account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccountIdentification5](#)" on page 1000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1001
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1001
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		1001
	BalanceForSubAccount <BalForSubAcct>	[0..*]	±	C1, C8, C5	1001

#### 65.1.5.3.5 TotalValues <TtlVals>

*Presence:* [0..1]

*Definition:* Value of total holdings reported.

**TotalValues <TtlVals>** contains the following elements (see "[TotalValueInPageAndStatement](#)" on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1026
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmnt>	[1..1]	Amount	C2, C10	1026

#### 65.1.5.3.6 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* [C16 "ExtensionRule"](#)

**Extension <Xtnsn>** contains the following elements (see ["Extension1"](#) on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### 65.1.5.4 TotalValueInPageAndStatement

*Definition:* Value of total holdings reported.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalHoldingsValueOfPage <TtlHldgsValOfPg>	[0..1]	Amount	C2, C10	1026
	TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>	[1..1]	Amount	C2, C10	1026

#### 65.1.5.4.1 TotalHoldingsValueOfPage <TtlHldgsValOfPg>

*Presence:* [0..1]

*Definition:* Total value of positions reported in this message.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.5.4.2 TotalHoldingsValueOfStatement <TtlHldgsValOfStmt>

*Presence:* [1..1]

*Definition:* Total value of positions reported in this statement (a statement may comprise one or more messages).

Impacted by: C2 "ActiveCurrency", C10 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.5.5 AggregateBalanceInformation3

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1028
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1028
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1028
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1028
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1029
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1029
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1029
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1030
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1030
	PriceDetails <PricDtls>	[1..*]	±	C15	1031
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1032
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1032
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1032
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]	±	C2	1033

**Constraints**

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**65.1.5.5.1 AggregateQuantity <AggtQty>**

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.5.2 DaysAccrued <DaysAcrd>**

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* "[Number](#)" on page 2533

**65.1.5.5.3 HoldingValue <HldgVal>**

*Presence:* [1..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.5.4 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]



*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.5.5 AccruedInterestAmount <AcrdIntrstAmt>

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.5.6 AccruedInterestAmountSign <AcrdIntrstAmtSgn>

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

#### 65.1.5.5.7 BookValue <BookVal>

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.5.8 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see ["SafekeepingPlaceFormatChoice"](#) on page 2129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2129
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2131
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2131

#### 65.1.5.5.9 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Security held on the account for which the balance is calculated.

*Impacted by:* [C12 "FinancialInstrumentIdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument13" on page 1169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1170
	Name <Nm>	[0..1]	Text		1170
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1170
	ClassType <ClsTp>	[0..1]	Text		1171
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1171
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1171

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.5.5.10 PriceDetails <PricDtls>

*Presence:* [1..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2076
	ValueType <ValTp>	[0..1]	CodeSet		2077
{Or	Type <Tp>	[1..1]	CodeSet		2077
Or}	ExtendedType <XtnededTp>	[1..1]	Text		2078
	SourceOfPrice <SrcOfPric>	[0..1]			2078
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079
	QuotationDate <QtnDt>	[0..1]	±		2079
	Yielded <Yldd>	[0..1]	Indicator		2079

**Constraints**

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

**65.1.5.5.11 ForeignExchangeDetails <FXDtIs>**

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms6](#)" on [page 1333](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1333
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1334
	ExchangeRate <XchgRate>	[1..1]	Rate		1334
	QuotationDate <QtnDt>	[0..1]	DateTime		1334
	QuotingInstitution <QtgInstn>	[0..1]	±		1334

**65.1.5.5.12 BalanceBreakdownDetails <BalBrkdwnDtIs>**

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtIs>** contains the following elements (see "[SubBalanceInformation2](#)" on [page 1049](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1050
Or}	ExtendedSubBalanceType <XtnDedSubBalTp>	[1..1]	Text		1051
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtIs>	[0..*]	±		1052

**65.1.5.5.13 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtIs>**

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

#### 65.1.5.5.14 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

*Impacted by:* C2 "AccruedInterestAmountSignRule"

**BalanceAtSafekeepingPlace <BalAtSfkpgPlc>** contains the following elements (see "AggregateBalancePerSafekeepingPlace4" on page 1053 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1053
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1054
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1054
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1054
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1055
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1055
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1055
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1056
	PriceDetails <PricDtls>	[1..*]	±	C15	1056
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1057
	BalanceBreakdownDetails <BalBrkdownDtls>	[0..*]	±		1057
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdownDtls>	[0..*]	±		1058

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

#### 65.1.5.6 AggregateBalanceInformation4

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account. A securities balance is calculated from the sum of securities' receipts minus the sum of securities' deliveries.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1035
	AvailableQuantity <AvlblQty>	[0..1]	±		1035
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1035
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1036
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1036
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1036
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1037
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1037
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1037
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C12	1038
	PriceDetails <PricDtls>	[0..*]	±	C15	1038
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1039
	BalanceBreakdownDetails <BalBrkdwDtls>	[0..*]	±		1039
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1040
	BalanceAtSafekeepingPlace <BalAtSfkpgPlc>	[0..*]		C2, C6	1040
	AggregateQuantity <AggtQty>	[1..1]	±		1041
	AvailableQuantity <AvlblQty>	[0..1]	±		1042
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1042
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1042
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1042
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1043
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1044
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1044
	PriceDetails <PricDtls>	[0..*]	±	C15	1044
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1045
	BalanceBreakdownDetails <BalBrkdwDtls>	[0..*]	±		1045
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1046

**Constraints**

- **AccruedInterestAmountSignRule**

if AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

- **BalanceAtSafekeepingPlaceRule**

If SafekeepingPlace is present, then BalanceAtSafekeepingPlace is not allowed.

**65.1.5.6.1 AggregateQuantity <AggtQty>**

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.2 AvailableQuantity <AvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is available.

**AvailableQuantity <AvlblQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.3 NotAvailableQuantity <NotAvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is not available.

**NotAvailableQuantity <NotAvlblQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.4 DaysAccrued <DaysAcrd>**

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* "Number" on page 2533

**65.1.5.6.5 HoldingValue <HldgVal>**

*Presence:* [0..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.6 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.7 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]



*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.6.8 AccruedInterestAmountSign <AcrdIntrstAmtSgn>

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

#### 65.1.5.6.9 BookValue <BookVal>

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.6.10 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2129
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2131
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2131

#### 65.1.5.6.11 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Security held on the account for which the balance is calculated.

*Impacted by:* C12 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument13" on page 1169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1170
	Name <Nm>	[0..1]	Text		1170
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1170
	ClassType <ClsTp>	[0..1]	Text		1171
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1171
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1171

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.5.6.12 PriceDetails <PricDtls>

*Presence:* [0..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"

**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2076
	ValueType <ValTp>	[0..1]	CodeSet		2077
{Or	Type <Tp>	[1..1]	CodeSet		2077
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2078
	SourceOfPrice <SrcOfPric>	[0..1]			2078
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079
	QuotationDate <QtnDt>	[0..1]	±		2079
	Yielded <Yldd>	[0..1]	Indicator		2079

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 65.1.5.6.13 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "ForeignExchangeTerms6" on page 1333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1333
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1334
	ExchangeRate <XchgRate>	[1..1]	Rate		1334
	QuotationDate <QtnDt>	[0..1]	DateTime		1334
	QuotingInstitution <QtgInstn>	[0..1]	±		1334

#### 65.1.5.6.14 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1049 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1050
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1051
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1052

#### 65.1.5.6.15 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

#### 65.1.5.6.16 BalanceAtSafekeepingPlace <BalAtSfkpgPlc>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

*Impacted by:* C2 "AccruedInterestAmountSignRule", C6 "AggregateQuantityGuideline"

**BalanceAtSafekeepingPlace <BalAtSfkpgPlc>** contains the following **AggregateBalancePerSafekeepingPlace3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateQuantity <AggtQty>	[1..1]	±		1041
	AvailableQuantity <AvlblQty>	[0..1]	±		1042
	NotAvailableQuantity <NotAvlblQty>	[0..1]	±		1042
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1042
	HoldingValue <HldgVal>	[0..*]	Amount	C3, C12	1042
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1043
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1043
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1044
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1044
	PriceDetails <PricDtls>	[0..*]	±	C15	1044
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1045
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1045
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1046

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

- **AggregateQuantityGuideline**

The AggregateQuantity should be the sum of AvailableQuantity and NotAvailableQuantity if AvailableQuantity and NotAvailableQuantity are both present.

#### 65.1.5.6.16.1 AggregateQuantity <AggtQty>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateQuantity <AggtQty>** contains one of the following elements (see "[BalanceQuantity1Choice](#)" on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.16.2 AvailableQuantity <AvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is available.

**AvailableQuantity <AvlblQty>** contains one of the following elements (see ["BalanceQuantity1Choice"](#) on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.16.3 NotAvailableQuantity <NotAvlblQty>**

*Presence:* [0..1]

*Definition:* Total quantity of financial instrument for the referenced holding that is not available.

**NotAvailableQuantity <NotAvlblQty>** contains one of the following elements (see ["BalanceQuantity1Choice"](#) on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

**65.1.5.6.16.4 DaysAccrued <DaysAcrd>**

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* ["Number"](#) on page 2533

**65.1.5.6.16.5 HoldingValue <HldgVal>**

*Presence:* [0..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.16.6 PreviousHoldingValue <PrvsHldgVal>**

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.16.7 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.16.8 AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.5.6.16.9 BookValue <BookVal>**

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.5.6.16.10 SafekeepingPlace <SfkpgPlc>**

*Presence:* [1..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormatChoice" on page 2129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2129
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2131
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2131

**65.1.5.6.16.11 PriceDetails <PricDtls>**

*Presence:* [0..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* C15 "ValueRule"



**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2076
	ValueType <ValTp>	[0..1]	CodeSet		2077
{Or	Type <Tp>	[1..1]	CodeSet		2077
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2078
	SourceOfPrice <SrcOfPric>	[0..1]			2078
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079
	QuotationDate <QtnDt>	[0..1]	±		2079
	Yielded <Yldd>	[0..1]	Indicator		2079

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 65.1.5.6.16.12 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "ForeignExchangeTerms6" on page 1333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1333
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1334
	ExchangeRate <XchgRate>	[1..1]	Rate		1334
	QuotationDate <QtnDt>	[0..1]	DateTime		1334
	QuotingInstitution <QtgInstn>	[0..1]	±		1334

#### 65.1.5.6.16.13 BalanceBreakdownDetails <BalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1049 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1050
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1051
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1052

#### 65.1.5.6.16.14 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

#### 65.1.5.7 FundBalance1

*Definition:* Balances of units and cash derived from investment fund orders.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

##### 65.1.5.7.1 TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>

*Presence:* [0..1]

*Definition:* Total number of units from orders placed in units.

**TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

### 65.1.5.7.2 TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>

*Presence:* [0..1]

*Definition:* Number of units derived from orders placed in cash.

**TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

### 65.1.5.7.3 TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>

*Presence:* [0..1]

*Definition:* Total amount of cash derived from orders placed as units.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### 65.1.5.7.4 TotalCashFromCashOrders <TtlCshFrCshOrdrs>

*Presence:* [0..1]

*Definition:* Total amount of cash from orders placed in cash.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### 65.1.5.8 SubBalanceQuantity1Choice

*Definition:* Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1048
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1048
Or}	QuantityAndAvailability <QtyAndAvlbt>	[1..1]			1048
	Quantity <Qty>	[1..1]	±		1049
	AvailabilityIndicator <AvlbtInd>	[1..1]	Indicator		1049

#### 65.1.5.8.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantityChoice](#)" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2142
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2142
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2142

#### 65.1.5.8.2 QuantityAsDSS <QtyAsDSS>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**QuantityAsDSS <QtyAsDSS>** contains the following elements (see "[GenericIdentification6](#)" on page 1363 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1363
	Balance <Bal>	[1..1]	Quantity		1363

#### 65.1.5.8.3 QuantityAndAvailability <QtyAndAvlbt>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance and whether the balance is available.

**QuantityAndAvailability <QtyAndAvlbtY>** contains the following **QuantityAndAvailability** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
	AvailabilityIndicator <AvlbtYInd>	[1..1]	Indicator		1049

#### 65.1.5.8.3.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantityChoice](#)" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2142
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2142
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2142

#### 65.1.5.8.3.2 AvailabilityIndicator <AvlbtYInd>

*Presence:* [1..1]

*Definition:* Indicates whether the quantity of securities on the sub-balance is available.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.5.9 SubBalanceInformation2

*Definition:* Net position of a segregated holding of a single security within the overall position held in the securities account, eg, sub-balance per status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1050
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1051
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwDtls>	[0..*]	±		1052

#### 65.1.5.9.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "[SubBalanceQuantity1Choice](#)" on page 1048 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1048
Or	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1048
Or}	QuantityAndAvailability <QtyAndAvlbtly>	[1..1]			1048
	Quantity <Qty>	[1..1]	±		1049
	AvailabilityIndicator <AvlbtlyInd>	[1..1]	Indicator		1049

#### 65.1.5.9.2 SubBalanceType <SubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason for the sub-balance.

*Datatype:* "[SecuritiesBalanceType1Code](#)" on page 2493

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only

CodeName	Name	Definition
		applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxy, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

#### 65.1.5.9.3 ExtendedSubBalanceType <XtndedSubBalTp>

*Presence:* [1..1]

**Warning** Either SubBalanceType or ExtendedSubBalanceType must be present, but not both.

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

Datatype: "Extended350Code" on page 2534

#### 65.1.5.9.4 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

Presence: [0..\*]

Definition: Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

#### 65.1.5.10 BalanceQuantity1Choice

Definition: Choice between formats for the balance information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

##### 65.1.5.10.1 Quantity <Qty>

Presence: [1..1]

Definition: Total quantity of financial instruments of the balance.

**Quantity <Qty>** contains one of the following elements (see "FinancialInstrumentQuantityChoice" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2142
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2142
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2142

##### 65.1.5.10.2 QuantityAsDSS <QtyAsDSS>

Presence: [1..1]

Definition: Total quantity of financial instruments of the balance.



**QuantityAsDSS <QtyAsDSS>** contains the following elements (see "[GenericIdentification6](#)" on page 1363 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1363
	Balance <Bal>	[1..1]	Quantity		1363

#### 65.1.5.11 AggregateBalancePerSafekeepingPlace4

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account at a specified place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AggregateBalance <AggtBal>	[1..1]	±		1053
	DaysAccrued <DaysAcrd>	[0..1]	Quantity		1054
	HoldingValue <HldgVal>	[1..*]	Amount	C3, C12	1054
	PreviousHoldingValue <PrvsHldgVal>	[0..1]	Amount	C3, C12	1054
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C3, C12	1055
	AccruedInterestAmountSign <AcrdIntrstAmtSgn>	[0..1]	Indicator		1055
	BookValue <BookVal>	[0..1]	Amount	C3, C12	1055
	SafekeepingPlace <SfkpgPlc>	[1..1]	±		1056
	PriceDetails <PricDtls>	[1..*]	±	C15	1056
	ForeignExchangeDetails <FXDtls>	[0..1]	±		1057
	BalanceBreakdownDetails <BalBrkdwnDtls>	[0..*]	±		1057
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1058

#### Constraints

- **AccruedInterestAmountSignRule**

If AccruedInterestAmount is present, then AccruedInterestAmountSign must be present. If AccruedInterestAmount is not present, then AccruedInterestAmountSign may not be present.

##### 65.1.5.11.1 AggregateBalance <AggtBal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**AggregateBalance <AggtBal>** contains one of the following elements (see ["BalanceQuantity1Choice"](#) on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±		1052
Or}	QuantityAsDSS <QtyAsDSS>	[1..1]	±		1052

#### 65.1.5.11.2 DaysAccrued <DaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* ["Number" on page 2533](#)

#### 65.1.5.11.3 HoldingValue <HldgVal>

*Presence:* [1..\*]

*Definition:* Total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount" on page 2411](#)

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.11.4 PreviousHoldingValue <PrvsHldgVal>

*Presence:* [0..1]

*Definition:* Previous total value of a balance of the securities account for a specific financial instrument, expressed in one or more currencies.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount" on page 2411](#)

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.11.5 **AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Interest amount that has accrued in between coupon payment periods.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.11.6 **AccruedInterestAmountSign <AcrdIntrstAmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates whether the accrued interest is a positive or negative amount.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

#### 65.1.5.11.7 **BookValue <BookVal>**

*Presence:* [0..1]

*Definition:* Value of a security, as booked in an account. Book value is often different from the current market value of the security.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### **Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.5.11.8 SafekeepingPlace <SfkpgPlc>

*Presence:* [1..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "[SafekeepingPlaceFormatChoice](#)" on page 2129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2129
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2131
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2131

#### 65.1.5.11.9 PriceDetails <PricDtls>

*Presence:* [1..\*]

*Definition:* Price of the financial instrument in one or more currencies.

*Impacted by:* [C15 "ValueRule"](#)

**PriceDetails <PricDtls>** contains the following elements (see "PriceInformation2" on page 2076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2076
	ValueType <ValTp>	[0..1]	CodeSet		2077
{Or	Type <Tp>	[1..1]	CodeSet		2077
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2078
	SourceOfPrice <SrcOfPric>	[0..1]			2078
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079
	QuotationDate <QtnDt>	[0..1]	±		2079
	Yielded <Yldd>	[0..1]	Indicator		2079

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 65.1.5.11.10 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Currency exchange related to a securities order.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "ForeignExchangeTerms6" on page 1333 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1333
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1334
	ExchangeRate <XchgRate>	[1..1]	Rate		1334
	QuotationDate <QtnDt>	[0..1]	DateTime		1334
	QuotingInstitution <QtgInstn>	[0..1]	±		1334

#### 65.1.5.11.11 BalanceBreakdownDetails <BalBrkdwDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, eg, sub-balance per status.

**BalanceBreakdownDetails <BalBrkdwnDtls>** contains the following elements (see "SubBalanceInformation2" on page 1049 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1049
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1050
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1051
	AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>	[0..*]	±		1052

#### 65.1.5.11.12 AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Net position of a segregated holding, in a single security, within the overall position held in a securities account.

**AdditionalBalanceBreakdownDetails <AddtlBalBrkdwnDtls>** contains the following elements (see "AdditionalBalanceInformation2" on page 1013 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1013
{Or	SubBalanceType <SubBalTp>	[1..1]	CodeSet		1013
Or}	ExtendedSubBalanceType <XtndedSubBalTp>	[1..1]	Text		1014

## 65.1.6 Cancellation Right

### 65.1.6.1 DateFormat1Choice

*Definition:* Choice between the formats to express a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1058
Or	Code <Cd>	[1..1]	CodeSet		1058
Or}	DateTime <DtTm>	[1..1]	DateTime		1059

#### 65.1.6.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

*Datatype:* "ISODate" on page 2521

#### 65.1.6.1.2 Code <Cd>

*Presence:* [1..1]

*Definition:* Date expressed as a code.

Datatype: "SettlementDate1Code" on page 2495

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

### 65.1.6.1.3 DateTime <DtTm>

Presence: [1..1]

Definition: Date expressed as a calendar date and time.

Datatype: "ISODatetime" on page 2522

## 65.1.7 Cash

### 65.1.7.1 CashInForecast6

Definition: Cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1059
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1060
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1060
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1060
	AdditionalBalance <AddtlBal>	[0..1]	±		1060

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.7.1.1 CashSettlementDate <CshSttlmDt>

Presence: [1..1]

Definition: Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.7.1.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.7.1.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.7.1.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.7.1.5 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.



**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

### 65.1.7.2 FundDetailedConfirmedCashForecastReport3

*Definition:* Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..1]	±	C14, C15, C16	1062
	FundCashForecastDetails <FndCshFcstDtls>	[1..*]		C11	1063
	Identification <Id>	[1..1]	Text		1065
	TradeDateTime <TradDtTm>	[1..1]	±		1065
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1065
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1065
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1066
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1066
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1067
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1067
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1067
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1067
	CurrencyStatus <CcySts>	[0..1]	±		1068
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1068
	Price <Pric>	[0..1]	±		1068
	ForeignExchangeRate <FXRate>	[0..1]	±		1068
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1069
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1069
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1070
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1071
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1072
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1073
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1074
	Extension <Xtnsn>	[0..*]	±	C16	1074

#### 65.1.7.2.1 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..1]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* C14 "FundIdentification1Rule", C15 "FundIdentification2Rule", C16 "FundIdentification3Rule"

**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund4" on page 1531 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1532
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1532
	Identification <Id>	[0..1]			1532
	Identification <Id>	[1..1]	Text		1532
	Type <Tp>	[1..1]	±		1532
	Currency <Ccy>	[0..1]	CodeSet	C3	1533
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1533
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1533
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1534
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1534
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1534

### Constraints

#### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
  Or    /LegalEntityIdentifier Must be present
```

#### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
  Or    /LegalEntityIdentifier Must be absent
```

#### • FundIdentification3Rule

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
  Or    /Name Must be present
```

### 65.1.7.2.2 FundCashForecastDetails <FndCshFcstDtls>

*Presence:* [1..\*]

**Definition:** Information related to the cash-in and cash-out flows for a specific trade date as a result of transactions in shares in an investment fund, for example, subscriptions, redemptions or switches. The information provided is sorted by pre-defined criteria such as country, institution, currency or user defined criteria.

**Impacted by:** C11 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following **FundCashForecast6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1065
	TradeDateTime <TradDtTm>	[1..1]	±		1065
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1065
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1065
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1066
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1066
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1067
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1067
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1067
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1067
	CurrencyStatus <CcySts>	[0..1]	±		1068
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1068
	Price <Pric>	[0..1]	±		1068
	ForeignExchangeRate <FXRate>	[0..1]	±		1068
	PercentageOfShareClassTotalNAV <PctgOfShrClsstTtlNAV>	[0..1]	Rate		1069
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1069
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1070
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1071
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1072
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1073

### Constraints

- ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### 65.1.7.2.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

#### 65.1.7.2.2.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price has been applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.7.2.2.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.7.2.2.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* C13 "FinancialInstrumentIdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1299 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.7.2.2.5 TotalNAV <TtlnAV>

*Presence:* [0..\*]

*Definition:* Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.7.2.2.6 PreviousTotalNAV <PrvsTtlnAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.7.2.2.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.7.2.2.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of investment fund class units that have been issued.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.7.2.2.9 TotalNAVChangeRate <TtlNAVChngRate>**

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* "[PercentageRate](#)" on page 2534

**65.1.7.2.2.10 InvestmentCurrency <InvstmtCcy>**

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.7.2.2.11 CurrencyStatus <CcySts>**

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "[CurrencyDesignation1](#)" on page 1682 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

**65.1.7.2.2.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.7.2.2.13 Price <Pric>**

*Presence:* [0..1]

*Definition:* Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

**65.1.7.2.2.14 ForeignExchangeRate <FXRate>**

*Presence:* [0..1]

*Definition:* Foreign exchange rate.



**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1341 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 65.1.7.2.2.15 PercentageOfShareClassTotalNAV <PctgOfShrClssttlnAV>

*Presence:* [0..1]

*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.7.2.2.16 BreakdownByParty <BrkdwnByPty>

*Presence:* [0..\*]

*Definition:* Cash flow by party.

**BreakdownByParty <BrkdwnByPty>** contains the following elements (see "BreakdownByParty3" on page 1725 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1726
	AccountIdentification <AcctId>	[0..1]	±		1727
	OwnerIdentification <OwnrId>	[0..1]	±		1727
	AccountServicer <AcctSvcr>	[0..1]	±		1727
	AdditionalParameters <AddtlParams>	[0..1]	±		1728
	CashInForecast <CshInFcst>	[0..*]		C5	1728
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1729
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1729
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1729
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1729
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1730
	AdditionalBalance <AddtlBal>	[0..1]	±		1730
	CashOutForecast <CshOutFcst>	[0..*]		C6	1730
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1731
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1731
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1732
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1732
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1732
	AdditionalBalance <AddtlBal>	[0..1]	±		1733
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1733

#### 65.1.7.2.2.17 BreakdownByCountry <BrkdwnByCtry>

*Presence:* [0..\*]

*Definition:* Cash flow by country.

**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1718 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1719
	CashInForecast <CshInFcst>	[0..*]		C5	1719
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1720
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1720
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1721
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1721
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1721
	AdditionalBalance <AddtlBal>	[0..1]	±		1721
	CashOutForecast <CshOutFcst>	[0..*]		C6	1722
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1723
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1723
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1723
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1723
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1723
	AdditionalBalance <AddtlBal>	[0..1]	±		1724
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1724

#### 65.1.7.2.2.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Cash flow by currency.

**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1711 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1712
	CashOutForecast <CshOutFcst>	[0..*]		C6	1712
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1713
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1713
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1714
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1714
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1714
	AdditionalBalance <AddtlBal>	[0..1]	±		1714
	CashInForecast <CshInFcst>	[0..*]		C5	1715
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1716
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1716
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1716
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1716
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1716
	AdditionalBalance <AddtlBal>	[0..1]	±		1717
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1717

#### 65.1.7.2.2.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

*Definition:* Cash flow by a user defined parameter/s.

*Impacted by:* C17 "UserDefinedRule"

**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements (see "BreakdownByUserDefinedParameter3" on page 1703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1704
	AccountIdentification <AcctId>	[0..1]	±		1704
	OwnerIdentification <OwnrId>	[0..1]	±		1704
	AccountServicer <AcctSvcr>	[0..1]	±		1705
	Country <Ctry>	[0..1]	CodeSet	C11	1705
	Currency <Ccy>	[0..1]	CodeSet	C3	1705
	UserDefined <UsrDfnd>	[0..1]	±		1706
	CashInForecast <CshInFcst>	[0..*]		C5	1706
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1707
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1707
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1707
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1707
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1707
	AdditionalBalance <AddtlBal>	[0..1]	±		1708
	CashOutForecast <CshOutFcst>	[0..*]		C6	1708
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1711

#### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 65.1.7.2.2.20 NetCashForecastDetails <NetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash movements per financial instrument.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.7.2.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

#### 65.1.7.2.4 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

### 65.1.7.3 FundConfirmedCashForecastReport3

*Definition:* Information about a cash forecast report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FundOrSubFundDetails <FndOrSubFndDtls>	[0..*]	±	C13, C14, C15	1076
	FundCashForecastDetails <FndCshFcstDtls>	[0..*]	±	C10	1078
	ConsolidatedNetCashForecast <CnsltdNetCshFcst>	[0..1]	±		1079
	Extension <Xtnsn>	[0..*]	±	C16	1080

#### Constraints

- **ConsolidatedNetCashRule**

If ConsolidatedNetCashForecast is present, then at least one occurrence of either FundOrSubFundDetails or FundCashForecastDetails must be present. Both FundOrSubFundDetails and FundCashForecastDetails may be present.

On Condition

/ConsolidatedNetCashForecast is present

Following Must be True

/FundOrSubFundDetails[\*] Must be present

Or /FundCashForecastDetails[\*] Must be present

- **FundOrSubFundAndShareClassGuideline**

When using the message to provide cash in and cash out amounts for more than one fund/sub fund, and more than one share classes, (two or more FundOrSubFundDetails sequences and two or more FundCashForecastDetails sequences and used), in this usage there is no way to determine which share class belongs to which fund/sub fund from the message content itself, which may not be desirable and this type of usage should be bilaterally agreed.

- **PreviousTradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/PreviousTradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/PreviousTradeDateTime Must be absent

- **TradeDate1Rule**

If any occurrence of FundCashForecastDetails is present, then any occurrence of FundOrSubFundDetails/TradeDateTime is not allowed.

On Condition

/FundCashForecastDetails[\*] is present

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be absent

- **TradeDate2Rule**

If FundCashForecastDetails is not present, then at least one occurrence of FundOrSubFundDetails/TradeDateTime must be present.

On Condition

/FundCashForecastDetails[\*] is absent

Following Must be True

/FundOrSubFundDetails[\*]/TradeDateTime Must be present

### 65.1.7.3.1 FundOrSubFundDetails <FndOrSubFndDtls>

*Presence:* [0..\*]

*Definition:* Information about the fund/sub fund when the report either specifies cash flow for the fund/sub fund or for a share class of the fund/sub fund.

*Impacted by:* C13 "FundIdentification1Rule", C14 "FundIdentification2Rule", C15 "FundIdentification3Rule"



**FundOrSubFundDetails <FndOrSubFndDtls>** contains the following elements (see "Fund2" on page 1492 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1493
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1493
	Identification <Id>	[0..1]			1493
	Identification <Id>	[1..1]	Text		1494
	Type <Tp>	[1..1]	±		1494
	Currency <Ccy>	[0..1]	CodeSet	C3	1494
	TradeDateTime <TradDtTm>	[0..1]	±		1494
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1494
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1495
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1495
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1495
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1496
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1496
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1496
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1496
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1497
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1497
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1497
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1497
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1498

## Constraints

### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
```

Following Must be True  
     /Identification Must be present  
 Or     /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
     /LegalEntityIdentifier is absent  
 Following Must be True  
     /Identification Must be present  
 Or     /Name Must be present

### 65.1.7.3.2 FundCashForecastDetails <FndCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Information related to the cash-in and cash-out flows for a specific trade date as a result of investment fund transactions, for example, subscriptions, redemptions or switches to/from a specified investment fund.

*Impacted by:* C10 "ExceptionalCashFlowIndicatorRule"

**FundCashForecastDetails <FndCshFcstDtls>** contains the following elements (see "FundCashForecast7" on page 1509 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1510
	TradeDateTime <TradDtTm>	[1..1]	±		1510
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1511
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1511
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1512
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1512
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1512
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1513
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1513
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1513
	CurrencyStatus <CcySts>	[0..1]	±		1513
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1514
	Price <Pric>	[0..1]	±		1514
	ForeignExchangeRate <FXRate>	[0..1]	±		1514
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1514
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1515
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1515
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1516

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

#### 65.1.7.3.3 ConsolidatedNetCashForecast <CnsltdNetCshFcst>

*Presence:* [0..1]

*Definition:* Estimated net cash as a result of the cash-in and cash-out flows.

**ConsolidatedNetCashForecast <CnsltdNetCshFcst>** contains the following elements (see "NetCashForecast3" on page 1080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

#### 65.1.7.3.4 Extension <Xtnsn>

*Presence:* [0..\*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C16 "ExtensionRule"

**Extension <Xtnsn>** contains the following elements (see "Extension1" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

#### 65.1.7.4 NetCashForecast3

*Definition:* Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1080
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1081
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1081

##### 65.1.7.4.1 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.7.4.2 NetUnitsNumber <NetUnitsNb>**

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.7.4.3 FlowDirection <FlowDrctn>**

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "[FlowDirectionType1Code](#)" on page 2442

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

**65.1.7.5 NetCashForecast4**

*Definition:* Net cash movement to a fund as a result of investment funds transactions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

**Constraints**

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

**65.1.7.5.1 CashSettlementDate <CshSttlmDt>**

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

**65.1.7.5.2 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.7.5.3 NetUnitsNumber <NetUnitsNb>**

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.7.5.4 FlowDirection <FlowDrctn>

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "FlowDirectionType1Code" on page 2442

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

#### 65.1.7.5.5 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

#### 65.1.7.6 CashOutForecast6

*Definition:* Cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1084
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1084
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1084
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1084
	AdditionalBalance <AddtlBal>	[0..1]	±		1085

#### Constraints

- AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition  
 /AdditionalBalance is present  
 Following Must be True  
 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present  
 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.7.6.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.7.6.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.7.6.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.7.6.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):



- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.7.6.5 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

## 65.1.8 Charge

### 65.1.8.1 ChargePaymentMethod1Choice

*Definition:* Choice of formats for the specification of the charge payment method.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1085
Or}	Proprietary <Prtry>	[1..1]	±		1085

#### 65.1.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Charge payment method expressed as a code.

*Datatype:* ["ChargePaymentMethod1Code"](#) on page 2424

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

#### 65.1.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Charge payment method expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.8.2 CostsAndCharges2

*Definition:* Costs and charges associated with the distribution or selling of a financial instrument. These may be one-off or recurring charges. These may be intended (ex ante) or actual (ex post).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExAnteReferenceDate <ExAnteRefDt>	[0..1]	Date		1087
	IndividualCostOrCharge <IndvCostOrChrg>	[1..*]		C13, C14, C27, C28	1087
	CostType <CostTp>	[1..1]			1088
{Or	Code <Cd>	[1..1]	CodeSet		1088
Or}	Proprietary <Prtry>	[1..1]	±		1093
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1093
	Amount <Amt>	[0..1]	Amount	C2	1094
	Sign <Sgn>	[0..1]	Indicator		1094
	Rate <Rate>	[0..1]	Rate		1094
	ReferencePeriod <RefPrd>	[0..1]			1094
	StartDate <StartDt>	[1..1]	Date		1094
	EndDate <EndDt>	[1..1]	Date		1095
	AdditionalInformation <AddtlInf>	[0..1]	±		1095
	AdditionalInformation <AddtlInf>	[0..1]	±		1095

#### Constraints

- **ExAnteReferenceDateGuideline**

The ex-ante reference date should not be confused with the reporting date as specified in the European MiFID Template (EMT) reference 00050.

- **IndividualCostAndCharge1Guideline**

If ExAnteReferenceDate is present, then all repetitions of IndividualCostOrCharge must specify Ex Ante costs

### 65.1.8.2.1 ExAnteReferenceDate <ExAnteRefDt>

*Presence:* [0..1]

*Definition:* Reference date applicable to all ex ante cost and charge disclosures. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07160.

*Datatype:* "ISODate" on page 2521

### 65.1.8.2.2 IndividualCostOrCharge <IndvCostOrChrg>

*Presence:* [1..\*]

*Definition:* Individual cost or charge associated with the distribution of selling of the financial instrument. This may be one-off or recurring. This may be ex ante (intended) or post ante (actual).

*Impacted by:* C13 "ExAnteOrExPost1Guideline", C14 "ExAnteOrExPost2Guideline", C27 "SignAmount1Rule", C28 "SignAmount2Rule"

**IndividualCostOrCharge <IndvCostOrChrg>** contains the following **IndividualCostOrCharge2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CostType <CostTp>	[1..1]			1088
{Or	Code <Cd>	[1..1]	CodeSet		1088
Or}	Proprietary <Prtry>	[1..1]	±		1093
	ExAnteOrExPost <ExAnteOrExPst>	[1..1]	CodeSet		1093
	Amount <Amt>	[0..1]	Amount	C2	1094
	Sign <Sgn>	[0..1]	Indicator		1094
	Rate <Rate>	[0..1]	Rate		1094
	ReferencePeriod <RefPrd>	[0..1]			1094
	StartDate <StartDt>	[1..1]	Date		1094
	EndDate <EndDt>	[1..1]	Date		1095
	AdditionalInformation <AddtlInf>	[0..1]	±		1095

#### Constraints

- **ExAnteOrExPost1Guideline**

If ExAnteOrExPost contains ANTE then CostType must be an ex ante cost or charge.

- **ExAnteOrExPost2Guideline**

If ExAnteOrExPost contains POST then CostType must be an ex post cost or charge.

- **SignAmount1Rule**

If Amount is not present, then Sign is not allowed.

On Condition

/Amount is absent

Following Must be True

/Sign Must be absent

- **SignAmount2Rule**

Sign must only be used to express a negative value for Amount.

#### 65.1.8.2.2.1 CostType <CostTp>

*Presence:* [1..1]

*Definition:* Type of cost or charge.

**CostType <CostTp>** contains one of the following **ChargeType8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1088
Or}	Proprietary <Prtry>	[1..1]	±		1093

#### 65.1.8.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cost or charge expressed as a code.

*Datatype:* "InvestmentFundMiFIDFee2Code" on page 2451

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.

CodeName	Name	Definition
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV. Includes performance fees and other costs.

CodeName	Name	Definition
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025. This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and

CodeName	Name	Definition
		therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined by the fund or fund management company. This is indicative and should be adapted by the distributor according

CodeName	Name	Definition
		to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the one-off maximum exit cost EMT reference 07050.
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	<p>One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the 'normal' fees if the client holds the product until maturity or during the RHP.</p> <p>Example: a product with a 5 year maturity has exit costs of:</p> <ul style="list-style-type: none"> <li>- 4% after 1 and 2 years</li> <li>- 3% after 3 years</li> <li>- 1% after 4 years</li> <li>- 0 at maturity</li> </ul> <p>Then maximum exit cost: 4%.</p> <p>Typical cost : 0</p>
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of



CodeName	Name	Definition
		the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

#### 65.1.8.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cost or charge expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.2.2.2 ExAnteOrExPost <ExAnteOrExPst>

*Presence:* [1..1]

*Definition:* Specifies if the cost or charge is ex ante (intended) or post ante (actual).

*Datatype:* "[IntendedOrActual2Code](#)" on page 2449

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

**65.1.8.2.2.3 Amount <Amt>***Presence:* [0..1]*Definition:* Amount of the cost or charge.*Impacted by:* C2 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.8.2.2.4 Sign <Sgn>***Presence:* [0..1]*Definition:* Indicates a negative amount.*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.8.2.2.5 Rate <Rate>***Presence:* [0..1]*Definition:* Rate of the cost or charge.*Datatype:* "PercentageRate" on page 2534**65.1.8.2.2.6 ReferencePeriod <RefPrd>***Presence:* [0..1]

*Definition:* Start date and end date of the reference period for the ex post cost or charge. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08090 and 08100.

**ReferencePeriod <RefPrd>** contains the following **Period15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]	Date		1094
	EndDate <EndDt>	[1..1]	Date		1095

**65.1.8.2.2.6.1 StartDate <StartDt>***Presence:* [1..1]*Definition:* Date on which the range starts.*Datatype:* "ISODate" on page 2521

**65.1.8.2.2.6.2 EndDate <EndDt>***Presence:* [1..1]*Definition:* Date on which the range ends.*Datatype:* "ISODate" on page 2521**65.1.8.2.2.7 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the individual cost or charge.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.8.2.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about costs and charges.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.8.3 Fees2***Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1096
	IndividualFee <IndvFee>	[0..*]			1096
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 65.1.8.3.1 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 65.1.8.3.2 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

**IndividualFee <IndvFee>** contains the following **Fee7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

#### 65.1.8.3.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee.

**Type <Tp>** contains one of the following **ChargeType6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098

#### 65.1.8.3.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of fee expressed as a code.

*Datatype:* "InvestmentFundFee2Code" on page 2451

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.

CodeName	Name	Definition
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

#### 65.1.8.3.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of fee expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.3.2.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee.

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099

#### 65.1.8.3.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "[TaxationBasis5Code](#)" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.

CodeName	Name	Definition
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.8.3.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.3.2.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Fee amount.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.3.2.4 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee.

*Impacted by:* [C13 "DiscountElementRule"](#)

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 65.1.8.3.2.4.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of discount or waiver.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.3.2.4.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate of discount or waiver.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.8.3.2.4.3 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Form of the discount or rebate.



**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101

#### 65.1.8.3.2.4.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a code.

*Datatype:* "WaivingInstruction1Code" on page 2521

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

#### 65.1.8.3.2.4.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.3.2.5 ChargeBearer <ChrgBr>

*Presence:* [0..1]

*Definition:* Party that bears the fee.

*Datatype:* "ChargeBearer1Code" on page 2423

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

### 65.1.8.3.2.6 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party entitled to the amount of money resulting from the fee.

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

### 65.1.8.4 Fee5

*Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1103
{Or	Code <Cd>	[1..1]	CodeSet		1103
Or}	Proprietary <Prtry>	[1..1]	±		1104
	Basis <Bsis>	[0..1]			1104
{Or	Code <Cd>	[1..1]	CodeSet		1105
Or}	Proprietary <Prtry>	[1..1]	±		1105
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1105
	StandardRate <StdRate>	[0..1]	Rate		1106
	DiscountDetails <DscntDtls>	[0..1]		C14	1106
	Amount <Amt>	[0..1]	Amount	C2, C10	1106
	Rate <Rate>	[0..1]	Rate		1107
	Basis <Bsis>	[0..1]			1107
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1108
	AppliedRate <ApldRate>	[0..1]	Rate		1108
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1108
	RecipientIdentification <RcptId>	[0..1]	±		1108
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1109

**Constraints**

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

**65.1.8.4.1 Type <Tp>**

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1103
Or}	Proprietary <Prtry>	[1..1]	±		1104

**65.1.8.4.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2450

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.

CodeName	Name	Definition
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.1.8.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.4.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1105
Or}	Proprietary <Prtry>	[1..1]	±		1105

**65.1.8.4.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Fee (charge/commission) basis expressed as a code.*Datatype:* "TaxationBasis5Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**65.1.8.4.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Fee (charge/commission) basis expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.8.4.3 StandardAmount <StdAmt>***Presence:* [0..1]*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.8.4.4 StandardRate <StdRate>**

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "PercentageRate" on page 2534

**65.1.8.4.5 DiscountDetails <DscntDtls>**

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C14 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1106
	Rate <Rate>	[0..1]	Rate		1107
	Basis <Bsis>	[0..1]			1107
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108

**Constraints**

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

**65.1.8.4.5.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.8.4.5.2 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* "PercentageRate" on page 2534

**65.1.8.4.5.3 Basis <Bsis>**

*Presence:* [0..1]

*Definition:* Form of the discount or rebate, for example, cash.

**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108

**65.1.8.4.5.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a code.

*Datatype:* "WaivingInstruction1Code" on page 2521

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

#### 65.1.8.4.5.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.4.6 AppliedAmount <ApIdAmt>

*Presence:* [0..1]

*Definition:* Fee (charge/commission) amount applied to the transaction.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.4.7 AppliedRate <ApIdRate>

*Presence:* [0..1]

*Definition:* Final rate used to calculate the fee (charge/commission) amount.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.8.4.8 NonStandardSLAReference <NonStdSLARef>

*Presence:* [0..1]

*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.8.4.9 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).



**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.8.4.10 InformativeIndicator <InftvInd>

*Presence:* [1..1]

*Definition:* Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.8.5 Fee3

*Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1110
{Or	Code <Cd>	[1..1]	CodeSet		1110
Or}	Proprietary <Prtry>	[1..1]	±		1111
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1111
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1112
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1112
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1112
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1112
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1113
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1113
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1113

#### Constraints

- **CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition  
/CommercialAgreementReference is present

Following Must be True  
 /NewCommercialAgreementReferenceIndicator Must be present

- **FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

#### 65.1.8.5.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1110
Or}	Proprietary <Prtry>	[1..1]	±		1111

##### 65.1.8.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2450

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.

CodeName	Name	Definition
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.1.8.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47"](#) on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.5.2 RepairedStandardAmount <RprdStdAmt>

*Presence:* [0..1]

*Definition:* Modified value of the standard fee (charge/commission) amount applied on the order (the standard fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.8.5.3 RepairedStandardRate <RprdStdRate>**

*Presence:* [0..1]

*Definition:* Modified value of the standard fee (charge/commission) rate applied on the order (the standard fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2534

**65.1.8.5.4 RepairedDiscountAmount <RprdDscntAmt>**

*Presence:* [0..1]

*Definition:* Modified value of the discount amount applied on the order (the discount amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.8.5.5 RepairedDiscountRate <RprdDscntRate>**

*Presence:* [0..1]

*Definition:* Modified value of the discount rate applied on the order (the discount rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2534

**65.1.8.5.6 RepairedRequestedAmount <RprdReqdAmt>**

*Presence:* [0..1]

*Definition:* Modified value of the requested fee (charge/commission) amount applied on the order (the requested fee (charge/commission) amount in the original individual order that has been repaired so that the order can be accepted).

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.5.7 RepairedRequestedRate <RprdReqdRate>

*Presence:* [0..1]

*Definition:* Modified value of the requested fee (charge/commission) rate applied on the order (the requested fee (charge/commission) rate in the original individual order that has been repaired so that the order can be accepted).

*Datatype:* "PercentageRate" on page 2534

#### 65.1.8.5.8 CommercialAgreementReference <ComrcAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 65.1.8.5.9 NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>

*Presence:* [0..1]

*Definition:* Indicates if the CommercialAgreementReference is a new reference or not.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.8.6 Fee2

*Definition:* Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1114
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116
	Basis <Bsis>	[0..1]			1116
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1117
	StandardRate <StdRate>	[0..1]	Rate		1117
	DiscountDetails <DscntDtls>	[0..1]		C14	1117
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1120
	AppliedRate <ApldRate>	[0..1]	Rate		1120
	NonStandardSLAResponse <NonStdSLARef>	[0..1]	Text		1120
	RecipientIdentification <RcptId>	[0..1]	±		1120
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1120

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

#### 65.1.8.6.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1115
Or}	Proprietary <Prtry>	[1..1]	±		1116

#### 65.1.8.6.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2450

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.

CodeName	Name	Definition
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.1.8.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.6.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1116
Or}	Proprietary <Prtry>	[1..1]	±		1117

#### 65.1.8.6.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "[TaxationBasis5Code](#)" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.



CodeName	Name	Definition
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.8.6.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.6.3 StandardAmount <StdAmt>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "[ActiveCurrencyAndAmount](#)" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.6.4 StandardRate <StdRate>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.8.6.5 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C14 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1118
	Rate <Rate>	[0..1]	Rate		1119
	Basis <Bsis>	[0..1]			1119
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 65.1.8.6.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.8.6.5.2 Rate <Rate>***Presence:* [0..1]*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* ["PercentageRate" on page 2534](#)**65.1.8.6.5.3 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the discount or rebate, for example, cash.**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119

**65.1.8.6.5.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a code.*Datatype:* ["WaivingInstruction1Code" on page 2521](#)

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

**65.1.8.6.5.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of discount or waiving expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47" on page 1360](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.6.6 AppliedAmount <ApIdAmt>

*Presence:* [0..1]

*Definition:* Fee (charge/commission) amount applied to the transaction.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.6.7 AppliedRate <ApIdRate>

*Presence:* [0..1]

*Definition:* Final rate used to calculate the fee (charge/commission) amount.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.8.6.8 NonStandardSLAReference <NonStdSLARef>

*Presence:* [0..1]

*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

*Datatype:* "Max35Text" on page 2536

#### 65.1.8.6.9 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.8.6.10 InformativeIndicator <InftvInd>

*Presence:* [1..1]

**Definition:** Indicates the information is provided for information purposes only. When the value is 'false' or '0' the amount provided is taken into consideration in the transaction overhead. When the value is 'true' or '1' the amount provided is not taken into consideration in the transaction overhead.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.8.7 Fee1

**Definition:** Amount of money associated with a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1122
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123
	Basis <Bsis>	[0..1]			1123
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1124
	StandardRate <StdRate>	[0..1]	Rate		1124
	DiscountDetails <DscntDtls>	[0..1]		C14	1125
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126
	RequestedAmount <ReqdAmt>	[0..1]	Amount	C2, C10	1127
	RequestedRate <ReqdRate>	[0..1]	Rate		1127
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1127
	RecipientIdentification <RcptId>	[0..1]	±		1127

#### Constraints

- **FeeElementRule**

One of the elements (Basis, StandardAmount, StandardRate, DiscountDetails, RequestedAmount, RequestedRate, NonStandardSLAReference, RecipientIdentification) must be present.

- **StandardFeeAmountCalculation**

If StandardAmount, RequestedAmount and DiscountDetails/Amount are all present, then StandardAmount minus DiscountDetails/Amount must equal RequestedAmount.

- **StandardFeeRateCalculation**

If StandardRate, RequestedRate and DiscountDetails/Rate are all present, then StandardRate minus DiscountDetails/Rate must equal RequestedRate.

#### 65.1.8.7.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of fee (charge/commission).

**Type <Tp>** contains one of the following **ChargeType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1122
Or}	Proprietary <Prtry>	[1..1]	±		1123

##### 65.1.8.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a code.

*Datatype:* "InvestmentFundFee1Code" on page 2450

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.

CodeName	Name	Definition
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.1.8.7.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.7.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Method used to calculate the fee (charge/commission).

**Basis <Bsis>** contains one of the following **ChargeBasis2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1123
Or}	Proprietary <Prtry>	[1..1]	±		1124

#### 65.1.8.7.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a code.

*Datatype:* "TaxationBasis5Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.8.7.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Fee (charge/commission) basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.7.3 StandardAmount <StdAmt>

*Presence:* [0..1]

*Definition:* Standard fee (charge/commission) amount as specified in the fund prospectus or agreed for the account.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.7.4 StandardRate <StdRate>

*Presence:* [0..1]



*Definition:* Standard fee (charge/commission) rate used to calculate the amount of the charge or fee, as specified in the fund prospectus or agreed for the account.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.8.7.5 DiscountDetails <DscntDtls>

*Presence:* [0..1]

*Definition:* Discount or waiver applied to the fee (charge/commission).

*Impacted by:* C14 "DiscountElementRule"

**DiscountDetails <DscntDtls>** contains the following **ChargeOrCommissionDiscount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C2, C10	1125
	Rate <Rate>	[0..1]	Rate		1126
	Basis <Bsis>	[0..1]			1126
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126

#### Constraints

- **DiscountElementRule**

Amount Or Rate Or Basis must be present.

Following Must be True

/Amount Must be present

Or /Rate Must be present

Or /Basis Must be present

#### 65.1.8.7.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) amount and the applied fee (charge/commission) amount.

EXAMPLE:

Standard charge is EUR 100

Discount is EUR 30

Applied charge is EUR 70.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.7.5.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Difference between the standard fee (charge/commission) rate and the applied rate of the fee (charge/commission).

EXAMPLE:

Standard rate is 5%

Discount rate is 3%

Applied rate is 2%.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.8.7.5.3 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Form of the discount or rebate, for example, cash.

**Basis <Bsis>** contains one of the following **WaivingInstruction2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1126
Or}	Proprietary <Prtry>	[1..1]	±		1126

##### 65.1.8.7.5.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a code.

*Datatype:* "WaivingInstruction1Code" on page 2521

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

##### 65.1.8.7.5.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of discount or waiving expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.7.6 RequestedAmount <ReqdAmt>

*Presence:* [0..1]

*Definition:* Requested fee (charge/commission) amount as agreed for the account.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.8.7.7 RequestedRate <ReqdRate>

*Presence:* [0..1]

*Definition:* Requested rate used to calculate the amount of the fee (charge/commission), as agreed for the account.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.8.7.8 NonStandardSLAReference <NonStdSLARef>

*Presence:* [0..1]

*Definition:* Reference to a sales agreement that overrides normal processing or the Service Level Agreement (SLA), such as a fee (charge/commission).

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.8.7.9 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party entitled to the amount of money resulting from a fee (charge/commission).

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

### 65.1.8.8 Charge26

*Definition:* Choice of formats for the type of charge.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1128
{Or	Code <Cd>	[1..1]	CodeSet		1128
Or}	Proprietary <Prtry>	[1..1]	±		1129
	ChargeApplied <ChrgAppld>	[1..1]			1129
{Or	Amount <Amt>	[1..1]	Amount	C2	1129
Or}	Rate <Rate>	[1..1]	Rate		1130

#### 65.1.8.8.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of charge.

**Type <Tp>** contains one of the following **ChargeType4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1128
Or}	Proprietary <Prtry>	[1..1]	±		1129

##### 65.1.8.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of charge expressed as a code.

*Datatype:* "ChargeType12Code" on page 2424

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.

CodeName	Name	Definition
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

#### 65.1.8.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of charge expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47" on page 1360](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.8.8.2 ChargeApplied <ChrgApId>

*Presence:* [1..1]

*Definition:* Charge amount or charge rate applied.

**ChargeApplied <ChrgApId>** contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2	1129
Or}	Rate <Rate>	[1..1]	Rate		1130

##### 65.1.8.8.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyAnd13DecimalAmount" on page 2409](#)

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.8.8.2.2 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Rate used to calculate the amount.

*Datatype:* "PercentageRate" on page 2534

**65.1.9 Cheque****65.1.9.1 Cheque4**

*Definition:* Set of characteristics related to a cheque instruction, such as cheque type or cheque number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1130

**65.1.9.1.1 PayeeIdentification <PyeeId>**

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

**65.1.10 Clearing System Member Identification****65.1.10.1 ClearingSystemMemberIdentification2Choice**

*Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1131
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1131
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1132
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1132
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1132
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1132
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1132
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1132
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1132
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1133
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1133
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1133
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1133
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1133
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1133
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1133
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1134
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1134
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1134
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1134
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1134
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1134
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1135

#### 65.1.10.1.1 CHIPSUniversalIdentification <USCHU>

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2525

#### 65.1.10.1.2 NewZealandNCCIdentification <NZNCC>

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2529

#### **65.1.10.1.3 IrishNSCIdentification <IENSC>**

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2528

#### **65.1.10.1.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2532

#### **65.1.10.1.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2525

#### **65.1.10.1.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2531

#### **65.1.10.1.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2526

#### **65.1.10.1.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2529

#### **65.1.10.1.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]



*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2530

#### **65.1.10.1.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]

*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2528

#### **65.1.10.1.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2523

#### **65.1.10.1.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2524

#### **65.1.10.1.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2531

#### **65.1.10.1.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2526

#### **65.1.10.1.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2531

#### **65.1.10.1.16 SouthAfricanNCCIdentification <ZANCC>**

*Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2531

#### **65.1.10.1.17 HongKongBankCode <HKNCC>**

*Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2527

#### **65.1.10.1.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>**

*Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2526

#### **65.1.10.1.19 AustralianSmallNetworkIdentification <AUBSBs>**

*Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2531

#### **65.1.10.1.20 IndianFinancialSystemCode <INIFSC>**

*Presence:* [1..1]

*Definition:* Indian Financial System Code - identifies Indian financial institutions on the Indian local clearing system.

*Datatype:* "IndianFinancialSystemCodeIdentifier" on page 2527

#### **65.1.10.1.21 HellenicBankIdentificationCode <GRHEBIC>**

*Presence:* [1..1]

*Definition:* Hellenic Bank Identification Code - identifies Hellenic financial institutions on the Hellenic national clearing system.

*Datatype:* "HellenicBankIdentificationCodeIdentifier" on page 2527

#### **65.1.10.1.22 PolishNationalClearingCode <PLKNR>**

*Presence:* [1..1]

*Definition:* Polish National Clearing Code - identifies Polish financial institutions on the Polish national clearing system.

*Datatype:* "PolishNationalClearingCodeIdentifier" on page 2529

### 65.1.10.1.23 OtherClearingCodeIdentification <OthrClrCldId>

*Presence:* [1..1]

*Definition:* Identification Code for a clearing system, that has not yet been identified in the list of clearing systems.

*Datatype:* "Max35Text" on page 2536

### 65.1.10.2 ClearingSystemMemberIdentification4Choice

*Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.10.2.1 CHIPSUniversalIdentification <USCHU>

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2525

#### **65.1.10.2.2 NewZealandNCCIdentification <NZNCC>**

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2529

#### **65.1.10.2.3 IrishNSCIdentification <IENSC>**

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2528

#### **65.1.10.2.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2532

#### **65.1.10.2.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2525

#### **65.1.10.2.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2531

#### **65.1.10.2.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2526

#### **65.1.10.2.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2529

#### **65.1.10.2.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]

*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2530

#### **65.1.10.2.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]

*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2528

#### **65.1.10.2.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2523

#### **65.1.10.2.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2524

#### **65.1.10.2.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2531

#### **65.1.10.2.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2526

#### **65.1.10.2.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2531

**65.1.10.2.16 SouthAfricanNCCIdentification <ZANCC>**

*Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2531

**65.1.10.2.17 HongKongBankCode <HKNCC>**

*Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2527

**65.1.10.2.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>**

*Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2526

**65.1.10.2.19 AustralianSmallNetworkIdentification <AUBSBs>**

*Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2531

**65.1.10.3 ClearingSystemMemberIdentificationChoice**

*Definition:* Choice of identifiers for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1139
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1139
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1139
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1140
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1140
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1140
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1140
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1140
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1140
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1140
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1141
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1141
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1141
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1141
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1141
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1141
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1141
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1142
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1142

#### 65.1.10.3.1 CHIPSUniversalIdentification <USCHU>

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID) - identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Datatype:* "CHIPSUniversalIdentifier" on page 2525

#### 65.1.10.3.2 NewZealandNCCIdentification <NZNCC>

*Presence:* [1..1]

*Definition:* New Zealand Bank/Branch Code - identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Datatype:* "NewZealandNCCIdentifier" on page 2529

#### 65.1.10.3.3 IrishNSCIdentification <IENSC>

*Presence:* [1..1]

*Definition:* Irish National Sorting Code - identifies Irish financial institutions on the Irish national clearing system. The code is assigned by the Irish Payments Services Organisation (IPSO).

*Datatype:* "IrishNSCIdentifier" on page 2528

#### **65.1.10.3.4 UKDomesticSortCode <GBSC>**

*Presence:* [1..1]

*Definition:* United Kingdom (UK) Sort Code - identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Datatype:* "UKDomesticSortCodeIdentifier" on page 2532

#### **65.1.10.3.5 CHIPSParticipantIdentification <USCH>**

*Presence:* [1..1]

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID) - identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Datatype:* "CHIPSParticipantIdentifier" on page 2525

#### **65.1.10.3.6 SwissBCIdentification <CHBC>**

*Presence:* [1..1]

*Definition:* Swiss Bank Code - identifies Swiss institutions on the Swiss national clearing system.

*Datatype:* "SwissBCIdentifier" on page 2531

#### **65.1.10.3.7 FedwireRoutingNumberIdentification <USFW>**

*Presence:* [1..1]

*Definition:* Fedwire Routing Number - identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Datatype:* "FedwireRoutingNumberIdentifier" on page 2526

#### **65.1.10.3.8 PortugueseNCCIdentification <PTNCC>**

*Presence:* [1..1]

*Definition:* Portuguese National Clearing Code - identifies Portuguese financial institutions on the Portuguese national clearing system.

*Datatype:* "PortugueseNCCIdentifier" on page 2529

#### **65.1.10.3.9 RussianCentralBankIdentificationCode <RUCB>**

*Presence:* [1..1]

*Definition:* Russian Central Bank Identification Code - identifies Russian financial institutions on the Russian national clearing system.

*Datatype:* "RussianCentralBankIdentificationCodeIdentifier" on page 2530

#### **65.1.10.3.10 ItalianDomesticIdentificationCode <ITNCC>**

*Presence:* [1..1]



*Definition:* Italian Domestic Identification Code - identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Datatype:* "ItalianDomesticIdentifier" on page 2528

#### **65.1.10.3.11 AustrianBankleitzahlIdentification <ATBLZ>**

*Presence:* [1..1]

*Definition:* Austrian Bankleitzahl - identifies Austrian financial institutions on the Austrian national clearing system.

*Datatype:* "AustrianBankleitzahlIdentifier" on page 2523

#### **65.1.10.3.12 CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>**

*Presence:* [1..1]

*Definition:* Canadian Payments Association Routing Number - identifies Canadian financial institutions on the Canadian national clearing system.

*Datatype:* "CanadianPaymentsARNIdentifier" on page 2524

#### **65.1.10.3.13 SwissSICIdentification <CHSIC>**

*Presence:* [1..1]

*Definition:* Swiss Interbank Clearing (SIC) Code - identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Datatype:* "SwissSICIdentifier" on page 2531

#### **65.1.10.3.14 GermanBankleitzahlIdentification <DEBLZ>**

*Presence:* [1..1]

*Definition:* German Bankleitzahl - identifies German financial institutions on the German national clearing systems.

*Datatype:* "GermanBankleitzahlIdentifier" on page 2526

#### **65.1.10.3.15 SpanishDomesticInterbankingIdentification <ESNCC>**

*Presence:* [1..1]

*Definition:* Spanish Domestic Interbanking Code - identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Datatype:* "SpanishDomesticInterbankingIdentifier" on page 2531

#### **65.1.10.3.16 SouthAfricanNCCIdentification <ZANCC>**

*Presence:* [1..1]

*Definition:* South African National Clearing Code (NCC) - identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Datatype:* "SouthAfricanNCCIdentifier" on page 2531

#### **65.1.10.3.17 HongKongBankCode <HKNCC>**

*Presence:* [1..1]

*Definition:* Hong Kong Bank Code - identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Datatype:* "HongKongBankIdentifier" on page 2527

### 65.1.10.3.18 AustralianExtensiveBranchNetworkIdentification <AUBSBx>

*Presence:* [1..1]

*Definition:* Extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "ExtensiveBranchNetworkIdentifier" on page 2526

### 65.1.10.3.19 AustralianSmallNetworkIdentification <AUBSBs>

*Presence:* [1..1]

*Definition:* Small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Datatype:* "SmallNetworkIdentifier" on page 2531

## 65.1.11 Commission

### 65.1.11.1 Commission21

*Definition:* Amount of money due to a party as compensation for a service.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1142
{Or	Code <Cd>	[1..1]	CodeSet		1143
Or}	Proprietary <Prtry>	[1..1]	±		1143
	CommissionApplied <ComssnApld>	[1..1]			1143
{Or	Amount <Amt>	[1..1]	Amount	C2	1143
Or}	Rate <Rate>	[1..1]	Rate		1144

#### 65.1.11.1.1 CommissionType <ComssnTp>

*Presence:* [1..1]

*Definition:* Type of commission.

**CommissionType <ComssnTp>** contains one of the following **CommissionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1143
Or}	Proprietary <Prtry>	[1..1]	±		1143

**65.1.11.1.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Commission type expressed as a code.*Datatype:* "CommissionType6Code" on page 2426

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

**65.1.11.1.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Commission type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.11.1.2 CommissionApplied <ComssnApId>***Presence:* [1..1]*Definition:* Commission amount or commission rate applied.**CommissionApplied <ComssnApId>** contains one of the following **AmountOrRate3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2	1143
Or}	Rate <Rate>	[1..1]	Rate		1144

**65.1.11.1.2.1 Amount <Amt>***Presence:* [1..1]*Definition:* Amount of money.*Impacted by:* C2 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.11.1.2.2 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Rate used to calculate the amount.

*Datatype:* "PercentageRate" on page 2534

**65.1.12 Date Period****65.1.12.1 DatePeriodDetails**

*Definition:* Range of time defined by a start date and an end date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1144
	ToDate <ToDt>	[1..1]	Date		1144

**65.1.12.1.1 FromDate <FrDt>**

*Presence:* [1..1]

*Definition:* Start date of the range.

*Datatype:* "ISODate" on page 2521

**65.1.12.1.2 ToDate <ToDt>**

*Presence:* [1..1]

*Definition:* End date of the range.

*Datatype:* "ISODate" on page 2521

**65.1.12.2 Tax36**

*Definition:* Information about tax.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1145
{Or	Date <Dt>	[1..1]	Date		1145
Or}	Period <Prd>	[1..1]	Text		1145
	AdditionalInformation <AddtlInf>	[0..*]	±		1145

### 65.1.12.2.1 DateOrPeriod <DtOrPrd>

*Presence:* [1..1]

*Definition:* Date or quarter of the tax year on which tax for the financial instrument is based or calculated.

**DateOrPeriod <DtOrPrd>** contains one of the following **DateQuarter1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1145
Or}	Period <Prd>	[1..1]	Text		1145

#### 65.1.12.2.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date as year, month and day.

*Datatype:* "ISODate" on page 2521

#### 65.1.12.2.1.2 Period <Prd>

*Presence:* [1..1]

*Definition:* Proprietary description of the timeframe.

*Datatype:* "Max35Text" on page 2536

### 65.1.12.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about tax.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

## 65.1.13 Date Time

### 65.1.13.1 DateAndDateTime1Choice

*Definition:* Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.13.1.1 Date <Dt>***Presence:* [1..1]*Definition:* Numeric representation of the day of the month and year.*Datatype:* ["ISODate" on page 2521](#)**65.1.13.1.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Numeric representation of time of the day and the day of the month and year.*Datatype:* ["ISODatetime" on page 2522](#)**65.1.13.2 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		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.13.2.1 Date <Dt>***Presence:* [1..1]*Definition:* Specified date.*Datatype:* ["ISODate" on page 2521](#)**65.1.13.2.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Specified date and time.*Datatype:* ["ISODatetime" on page 2522](#)**65.1.13.3 DateFormat42Choice***Definition:* Choice of formats for a date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1146
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1147

**65.1.13.3.1 YearMonth <YrMnth>***Presence:* [1..1]*Definition:* Year and month.*Datatype:* ["ISOYearMonth" on page 2538](#)

### 65.1.13.3.2 YearMonthDay <YrMnthDay>

*Presence:* [1..1]

*Definition:* Year, month and day.

*Datatype:* "ISODate" on page 2521

### 65.1.13.4 FiscalYear1Choice

*Definition:* Choice of start date and end date for the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1147
Or}	EndDate <EndDt>	[1..1]	Date		1147

#### 65.1.13.4.1 StartDate <StartDt>

*Presence:* [1..1]

*Definition:* Start date of the fiscal year.

*Datatype:* "ISODate" on page 2521

#### 65.1.13.4.2 EndDate <EndDt>

*Presence:* [1..1]

*Definition:* End date of the fiscal year.

*Datatype:* "ISODate" on page 2521

### 65.1.13.5 DateTimePeriodDetails

*Definition:* Time span defined by a start date and time, and an end date and time.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1147
	ToDateTime <ToDtTm>	[1..1]	DateTime		1147

#### 65.1.13.5.1 FromDateTime <FrDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

*Datatype:* "ISODateTime" on page 2522

#### 65.1.13.5.2 ToDateTime <ToDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the range ends.

*Datatype:* "ISODateTime" on page 2522

### 65.1.13.6 DateAndDateTimeChoice

*Definition:* Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.13.6.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* ["ISODate" on page 2521](#)

#### 65.1.13.6.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* ["ISODateTime" on page 2522](#)

## 65.1.14 Date Time Period

### 65.1.14.1 DateOrDateTimePeriodChoice

*Definition:* Choice between a date or a date and time format for a period.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1148
Or}	DateTime <DtTm>	[1..1]	±		1148

#### 65.1.14.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Period expressed with dates.

**Date <Dt>** contains the following elements (see ["DatePeriodDetails" on page 1144](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1144
	ToDate <ToDt>	[1..1]	Date		1144

#### 65.1.14.1.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Period expressed a dates and times.



**DateTime <DtTm>** contains the following elements (see ["DateTimePeriodDetails"](#) on page 1147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1147
	ToDateTime <ToDtTm>	[1..1]	DateTime		1147

### 65.1.14.2 TimeFrame7

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1149
	TradePlus <TPlus>	[0..1]	Quantity		1149
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1149
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1150

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition  
 /NonWorkingDayAdjustment is present  
 Following Must be True  
 /TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition  
 /TradePlus is present  
 Following Must be True  
 /NonWorkingDayAdjustment Must be present

#### 65.1.14.2.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* ["Max350Text"](#) on page 2536

#### 65.1.14.2.2 TradePlus <TPlus>

*Presence:* [0..1]

*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

*Datatype:* ["Number"](#) on page 2533

#### 65.1.14.2.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2419

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 65.1.14.2.4 ReferToOrderDesk <RefrToOrdRdsk>

*Presence:* [0..1]

*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2483

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### 65.1.14.3 TimeHorizon2Choice

*Definition:* Choice of formats for a time horizon.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1150
Or}	TimeFrame <TmFrame>	[1..1]			1150
{Or	Code <Cd>	[1..1]	CodeSet		1151
Or}	Proprietary <Prtry>	[1..1]	±		1151

##### 65.1.14.3.1 NumberOfYears <NbOfYrs>

*Presence:* [1..1]

*Definition:* Minimum recommended holding (RHP) period.

*Datatype:* "DecimalNumber" on page 2533

##### 65.1.14.3.2 TimeFrame <TmFrame>

*Presence:* [1..1]

*Definition:* Time frame as a qualitative value.

**TimeFrame <TmFrame>** contains one of the following **TimeFrame9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1151
Or}	Proprietary <Prtry>	[1..1]	±		1151

#### 65.1.14.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Time frame expressed as a code.

*Datatype:* "TimeFrame2Code" on page 2511

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

#### 65.1.14.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Time frame expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.14.4 TimeFrame5

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1152
	TradePlus <TPlus>	[0..1]	Quantity		1152
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1152
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1152

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True  
/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition  
/TradePlus is present  
Following Must be True  
/NonWorkingDayAdjustment Must be present

#### 65.1.14.4.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "Max350Text" on page 2536

#### 65.1.14.4.2 TradePlus <TPlus>

*Presence:* [0..1]

*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

*Datatype:* "Number" on page 2533

#### 65.1.14.4.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2419

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 65.1.14.4.4 ReferToOrderDesk <RefrToOrdrDsk>

*Presence:* [0..1]

*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2483

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### 65.1.14.5 TimeFrame4

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1153
	TradeMinus <TMns>	[0..1]	Quantity		1153
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1153
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1154

### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

```
On Condition
  /NonWorkingDayAdjustment is present
Following Must be True
  /TradeMinus Must be present
```

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

```
On Condition
  /TradeMinus is present
Following Must be True
  /NonWorkingDayAdjustment Must be present
```

#### 65.1.14.5.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "Max350Text" on page 2536

#### 65.1.14.5.2 TradeMinus <TMns>

*Presence:* [0..1]

*Definition:* Number of days before the trade date (T) used for the standard timeframe for the dealing cut-off.

*Datatype:* "Number" on page 2533

#### 65.1.14.5.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2419

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 65.1.14.5.4 ReferToOrderDesk <RefrToOrdrDsk>

*Presence:* [0..1]

*Definition:* For the dealing cut-off time, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2483

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

#### 65.1.14.6 TimeFrame6

*Definition:* Time frame elements that define a period as number of days before or after a activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1154
	TradePlus <TPlus>	[0..1]	Quantity		1154
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1155
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1155

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 65.1.14.6.1 OtherTimeFrameDescription <OthrTmFrameDesc>

*Presence:* [0..1]

*Definition:* Description of the timeframe.

*Datatype:* "Max350Text" on page 2536

#### 65.1.14.6.2 TradePlus <TPlus>

*Presence:* [0..1]

*Definition:* Number of days after the trade date (T) used for the standard timeframe for the issue of a deal confirmation.

*Datatype:* "Number" on page 2533

### 65.1.14.6.3 NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>

*Presence:* [0..1]

*Definition:* Convention used for adjusting a date when it is not a business day.

*Datatype:* "BusinessDayConvention1Code" on page 2419

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

### 65.1.14.6.4 ReferToOrderDesk <RefrToOrdRdsk>

*Presence:* [0..1]

*Definition:* For the time of the issuance of the deal confirmation, the order desk must be contacted.

*Datatype:* "ReferToFundOrderDesk1Code" on page 2483

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

## 65.1.15 De Minimus

### 65.1.15.1 DeMinimus1Choice

*Definition:* De minimus applicability conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsApIbl>	[1..1]	±		1155
Or}	DeMinimusNotApplicable <DeMnmsNotApIbl>	[1..1]	±		1155

#### 65.1.15.1.1 DeMinimusApplicable <DeMnmsApIbl>

*Presence:* [1..1]

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

**DeMinimusApplicable <DeMnmsApIbl>** contains the following elements (see "DeMinimusApplicable1" on page 1692 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIsssePrmssn>	[1..1]	Indicator		1692
	Percentage <Pctg>	[0..1]	Rate		1692

#### 65.1.15.1.2 DeMinimusNotApplicable <DeMnmsNotApIbl>

*Presence:* [1..1]

*Definition:* Conditions applicable when the investor is not covered by the "de minimis" exemption.

**DeMinimusNotApplicable <DeMnmsNotApbl>** contains the following elements (see "DeMinimusNotApplicable1" on page 1691 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		1692

## 65.1.16 Direct Debit

### 65.1.16.1 DirectDebitMandate6

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1156
	Debtor <Dbtr>	[0..1]	±		1156
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1157
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1157
	Creditor <Cdtr>	[0..1]	±		1157
	DebtorAgent <DbtrAgt>	[1..1]	±		1157
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1158
	CreditorAgent <CdtrAgt>	[0..1]	±		1158
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1158
	RegistrationIdentification <RegnId>	[0..1]	Text		1158
	MandateIdentification <MndtId>	[0..1]	Text		1159

#### 65.1.16.1.1 DebtorAccount <DbtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.16.1.2 Debtor <Dbtr>

*Presence:* [0..1]



*Definition:* Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.16.1.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.16.1.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

*Presence:* [0..1]

*Definition:* Number assigned by a national registration authority to an entity.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.16.1.5 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.16.1.6 DebtorAgent <DbtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution that receives the direct debit instruction from the creditor or other authorised party.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

### 65.1.16.1.7 DebtorAgentBranch <DbtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**DebtorAgentBranch <DbtrAgtBrnch>** contains the following elements (see "[BranchData](#)" on page 1162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1162
	Name <Nm>	[0..1]	Text		1162
	PostalAddress <PstlAdr>	[0..1]	±		1163

### 65.1.16.1.8 CreditorAgent <CdtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

### 65.1.16.1.9 CreditorAgentBranch <CdtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**CreditorAgentBranch <CdtrAgtBrnch>** contains the following elements (see "[BranchData](#)" on page 1162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1162
	Name <Nm>	[0..1]	Text		1162
	PostalAddress <PstlAdr>	[0..1]	±		1163

### 65.1.16.1.10 RegistrationIdentification <RegnId>

*Presence:* [0..1]

*Definition:* Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.16.1.11 MandateIdentification <MndtId>

*Presence:* [0..1]

*Definition:* Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

*Datatype:* "Max35Text" on page 2536

### 65.1.16.2 DirectDebitMandate7

*Definition:* Direct debit mandate parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1159
	Debtor <Dbtr>	[0..1]	±		1159
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1160
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1160
	Creditor <Cdtr>	[0..1]	±		1160
	DebtorAgent <DbtrAgt>	[1..1]	±		1160
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1161
	CreditorAgent <CdtrAgt>	[0..1]	±		1161
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1161
	RegistrationIdentification <RegnId>	[0..1]	Text		1162
	MandateIdentification <MndtId>	[0..1]	Text		1162

#### 65.1.16.2.1 DebtorAccount <DbtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.16.2.2 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes the cash to the creditor/final party. The debtor is also the debit account owner.

**Debtor <Dbtr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.16.2.3 DebtorTaxIdentificationNumber <DbtrTaxIdNb>

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "Max35Text" on page 2536

#### 65.1.16.2.4 DebtorNationalRegistrationNumber <DbtrNtlRegnNb>

*Presence:* [0..1]

*Definition:* Number assigned by a national registration authority to an entity.

*Datatype:* "Max35Text" on page 2536

#### 65.1.16.2.5 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.16.2.6 DebtorAgent <DbtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution that receives the direct debit instruction from the creditor or other authorised party.

**DebtorAgent <DbtrAgt>** contains one of the following elements (see "FinancialInstitutionIdentification11Choice" on page 1164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

#### 65.1.16.2.7 DebtorAgentBranch <DbtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**DebtorAgentBranch <DbtrAgtBrnch>** contains the following elements (see "BranchData4" on page 1163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.16.2.8 CreditorAgent <CdtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution that receives the payment transaction on behalf of the creditor, or other nominated party, and credits the account.

**CreditorAgent <CdtrAgt>** contains one of the following elements (see "FinancialInstitutionIdentification11Choice" on page 1164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

#### 65.1.16.2.9 CreditorAgentBranch <CdtrAgtBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**CreditorAgentBranch <CdtrAgtBrnch>** contains the following elements (see "BranchData4" on page 1163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.16.2.10 RegistrationIdentification <RegnId>

*Presence:* [0..1]

*Definition:* Reference assigned to a creditor by its financial institution, or relevant authority, authorising the creditor to take part in a direct debit scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.16.2.11 MandateIdentification <MndtId>

*Presence:* [0..1]

*Definition:* Reference of the direct debit mandate that has been agreed upon by the debtor and creditor.

*Datatype:* "Max35Text" on page 2536

## 65.1.17 Financial Institution Identification

### 65.1.17.1 BranchData

*Definition:* Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1162
	Name <Nm>	[0..1]	Text		1162
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.17.1.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a branch of a financial institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.17.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

Datatype: "Max35Text" on page 2536

### 65.1.17.1.3 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

### 65.1.17.2 BranchData4

Definition: Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.17.2.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a branch of a financial institution.

Datatype: "Max35Text" on page 2536

#### 65.1.17.2.2 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max35Text" on page 2536

#### 65.1.17.2.3 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 "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

### 65.1.17.3 FinancialInstitutionIdentification11Choice

*Definition:* Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

#### 65.1.17.3.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Identifies the name and (long) postal address of a financial institution.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.17.3.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523



**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.

**65.1.17.3.3 ClearingSystemMemberIdentification <ClrSysMmbld>**

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "[ClearingSystemMemberIdentification4Choice](#)" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

**65.1.17.3.4 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following **SimpleIdentificationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </Id>	[1..1]	Text		1166

#### 65.1.17.3.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "Max35Text" on page 2536

#### 65.1.17.4 FinancialInstitutionIdentification8Choice

*Definition:* Choice between formats for the identification of the financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1166
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1166
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1167
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1167

#### 65.1.17.4.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Identifies the name and (long) postal address of a financial institution.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.17.4.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C7 "BICFI"

*Datatype:* "BICFIIdentifier" on page 2523

**Constraints**

- **BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**65.1.17.4.3 ClearingSystemMemberIdentification <ClrSysMmbld>**

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentificationChoice" on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1139
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1139
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1139
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1140
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1140
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1140
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1140
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1140
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1140
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1140
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1141
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1141
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1141
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1141
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1141
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1141
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1141
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1142
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1142

**65.1.17.4.4 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

### 65.1.17.5 FinancialInstitutionIdentification10

*Definition:* Identification of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.17.5.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "FinancialInstitutionIdentification8Choice" on page 1166 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1166
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C7	1166
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1167
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1167

#### 65.1.17.5.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

### 65.1.17.6 BranchData2

*Definition:* Information that locates and identifies a specific branch of a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.17.6.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a branch of a financial institution.

*Datatype:* "Max35Text" on page 2536

### 65.1.17.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which an agent is known and which is usually used to identify that agent.

*Datatype:* "Max140Text" on page 2535

### 65.1.17.6.3 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress6" on page 2070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2071
	Department <Dept>	[0..1]	Text		2071
	SubDepartment <SubDept>	[0..1]	Text		2071
	StreetName <StrtNm>	[0..1]	Text		2071
	BuildingNumber <BldgNb>	[0..1]	Text		2072
	PostCode <PstCd>	[0..1]	Text		2072
	TownName <TwnNm>	[0..1]	Text		2072
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2072
	Country <Ctry>	[0..1]	CodeSet	C11	2072
	AddressLine <AdrLine>	[0..7]	Text		2072

## 65.1.18 Financial Instrument

### 65.1.18.1 FinancialInstrument13

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1170
	Name <Nm>	[0..1]	Text		1170
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1170
	ClassType <ClsTp>	[0..1]	Text		1171
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1171
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1171

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**65.1.18.1.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

**65.1.18.1.2 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2536

**65.1.18.1.3 SupplementaryIdentification <SplmtryId>**

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.18.1.4 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.1.5 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.18.1.6 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 65.1.18.2 FinancialInstrument96

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PhysicalBearerSecurities <PhysBrScties>	[0..1]	Indicator		1172
	DematerialisedBearerSecurities <DmtrlSdBrScties>	[0..1]	Indicator		1173
	PhysicalRegisteredSecurities <PhysRegdScties>	[0..1]	Indicator		1173
	DematerialisedRegisteredSecurities <DmtrlSdRegdScties>	[0..1]	Indicator		1173
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1173
	DividendPolicy <DvddPlcy>	[0..1]	CodeSet		1173
	DividendFrequency <DvddFrqcy>	[0..1]	CodeSet		1174
	ReinvestmentFrequency <RinvstmtFrqcy>	[0..1]	CodeSet		1174
	FrontEndLoad <FrntEndLd>	[0..1]	Indicator		1175
	BackEndLoad <BckEndLd>	[0..1]	Indicator		1175
	SwitchFee <SwchFee>	[0..1]	Indicator		1175
	EUSavingsDirective <EUSvgsDrctv>	[0..1]	CodeSet		1175
	LaunchDate <LnchDt>	[0..1]	Date		1176
	FundEndDate <FndEndDt>	[0..1]	Date		1176
	TerminationDate <TermntnDt>	[0..1]	Date		1176
	InitialOfferEndDate <InitlOfferEndDt>	[0..1]	Date		1176
	SuspensionStartDate <SspnsnStartDt>	[0..1]	Date		1176
	SuspensionEndDate <SspnsnEndDt>	[0..1]	Date		1176
	MaturityDate <MtrtyDt>	[0..1]	Date		1176
	MaybeTerminatedEarly <MayBeTermntdEarly>	[0..1]	CodeSet		1177
	ClosedEndFund <ClsdEndFnd>	[0..1]	Indicator		1177
	Equalisation <Equlstn>	[0..1]	Indicator		1177
	TaxEfficientProductEligible <TaxEffcntPdctElgbl>	[0..1]	Indicator		1177
	Authorised <Authrsd>	[0..1]	Indicator		1177
	RDRCompliant <RDRCmplnt>	[0..1]	Indicator		1178
	ManagementFeeSource <MgmtFeeSrc>	[0..1]	CodeSet		1178
	PerformanceFee <PrfrmncFee>	[0..1]	Indicator		1178
	AdditionalInformation <AddtlInf>	[0..*]	±		1178

#### 65.1.18.2.1 PhysicalBearerSecurities <PhysBrScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold bearer units/shares in this class in certified form.



*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.2 DematerialisedBearerSecurities <DmtrlSdBrScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold bearer units/shares in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.3 PhysicalRegisteredSecurities <PhysRegdScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold registered units/shares in this class in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.4 DematerialisedRegisteredSecurities <DmtrlSdRegdScties>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to hold registered units/shares in this class in paperless form.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.5 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* ["DistributionPolicy1Code" on page 2435](#)

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 65.1.18.2.6 DividendPolicy <DvddPlcy>

*Presence:* [0..1]

*Definition:* Dividend policy of the fund, for example, cash, units.

*Datatype:* ["DividendPolicy1Code" on page 2435](#)

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

#### 65.1.18.2.7 DividendFrequency <DvddFrqcy>

*Presence:* [0..1]

*Definition:* Frequency with which the income is allocated to investors.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.18.2.8 ReinvestmentFrequency <RinvstmtFrqcy>

*Presence:* [0..1]

*Definition:* Frequency with which the reinvestment takes place, this is the same or less than the dividend frequency.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.18.2.9 FrontEndLoad <FrntEndLd>

*Presence:* [0..1]

*Definition:* Indicates whether a front end charge on subscription orders for this class can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.10 BackEndLoad <BckEndLd>

*Presence:* [0..1]

*Definition:* Indicates whether an exit charge (for example, CDSC) on redemption orders for this class can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.11 SwitchFee <SwchFee>

*Presence:* [0..1]

*Definition:* Indicates whether a separate fee for switching between sub-funds of the same umbrella can be applied.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.2.12 EUSavingsDirective <EUSvgsDrctv>

*Presence:* [0..1]

*Definition:* Indicates whether the investment fund class is subject to the European Union Saving Directive.

*Datatype:* ["EUSavingsDirective1Code"](#) on page 2437

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.

CodeName	Name	Definition
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

#### 65.1.18.2.13 LaunchDate <LnchDt>

*Presence:* [0..1]

*Definition:* Date on which the fund is open for investment.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.14 FundEndDate <FndEndDt>

*Presence:* [0..1]

*Definition:* Date on which the fund is closed to investment.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.15 TerminationDate <TermntnDt>

*Presence:* [0..1]

*Definition:* Date the fund closes.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.16 InitialOfferEndDate <InitlOfferEndDt>

*Presence:* [0..1]

*Definition:* Date on which the discount period of the newly launched investment fund ends.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.17 SuspensionStartDate <SspnsnStartDt>

*Presence:* [0..1]

*Definition:* Date on which valuation of the investment fund class is suspended.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.18 SuspensionEndDate <SspnsnEndDt>

*Presence:* [0..1]

*Definition:* Date on which valuation of the investment fund class is unsuspended.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.2.19 MaturityDate <MtrtyDt>

*Presence:* [0..1]

*Definition:* Maturity date of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00065.

*Datatype:* "ISODate" on page 2521

**65.1.18.2.20 MayBeTerminatedEarly <MayBeTermntdEarly>**

*Presence:* [0..1]

*Definition:* Specifies whether the product may be terminated early. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00067.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

**65.1.18.2.21 ClosedEndFund <ClsdEndFnd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is close-ended.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.22 Equalisation <Equlstn>**

*Presence:* [0..1]

*Definition:* Indicates whether equalisation is applied.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.23 TaxEfficientProductEligible <TaxEffcntPdctElgbl>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is eligible for a tax efficient product.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.24 Authorised <Authrsd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is authorised by the regulatory compliance authority.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.25 RDRCompliant <RDRCmplnt>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund is compliant with the Retail Distribution Review (RDR).

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.26 ManagementFeeSource <MgmtFeeSrc>**

*Presence:* [0..1]

*Definition:* Specifies from where the management fee is taken.

*Datatype:* ["AnnualChargePaymentType1Code"](#) on page 2418

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

**65.1.18.2.27 PerformanceFee <PrfrmncFee>**

*Presence:* [0..1]

*Definition:* Indicates whether there is a performance fee feature or carried interest. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00045.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.2.28 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the fund.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.18.3 SecurityIdentification37**

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1179
	Name <Nm>	[1..1]	Text		1180
	ShortName <ShrtNm>	[0..1]	Text		1181
	ClassType <ClsTp>	[0..1]	Text		1181
	UmbrellaName <UmbrlNm>	[0..1]	Text		1181
	NewUmbrella <NewUmbrl>	[0..1]	Indicator		1181
	ClassificationType <ClsfctnTp>	[0..1]	±		1181
	BaseCurrency <BaseCcy>	[0..1]	CodeSet	C2	1181
	CountryOfDomicile <CtryOfDmcl>	[0..1]	CodeSet	C11	1182
	RegisteredDistributionCountry <RegdDstrbtnCtry>	[0..*]	CodeSet	C11	1182
	ProductType <PdctTp>	[0..1]			1182
{Or	Code <Cd>	[1..1]	CodeSet		1183
Or}	Proprietary <Prtry>	[1..1]	±		1183
	Issuer <Issr>	[0..1]	±		1183
	IssuerProductGovernanceProcess <IssrPdctGovncPrc>	[0..1]	±		1184
	ProductCategory <PdctCtgy>	[0..1]	Text		1184
	ProductCategoryGermany <PdctCtgyDE>	[0..1]	Text		1184
	NotionalOrUnitBased <NtnlOrUnitBased>	[0..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1185
	QuotationType <QtnTp>	[0..1]	±		1185
	LeveragedOrContingentLiability <LvrgdOrCntgntLbly>	[0..1]	Indicator		1186
	NoRetrocessionIndicator <NoRtrcssnInd>	[0..1]	Indicator		1186
	ExPostCostCalculationBasis <ExPstCostClctnBsis>	[0..1]			1186
{Or	Code <Cd>	[1..1]	CodeSet		1186
Or}	Proprietary <Prtry>	[1..1]	±		1187
	AdditionalInformation <AddtlInf>	[0..*]	±		1187

### 65.1.18.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security, typically by an ISIN.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**Identification <Id>** contains the following elements (see "SecurityIdentification19" on page 1297 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1298
	OtherIdentification <Othrid>	[0..*]			1298
	Identification <Id>	[1..1]	Text		1299
	Suffix <Sfx>	[0..1]	Text		1299
	Type <Tp>	[1..1]	±		1299
	Description <Desc>	[0..1]	Text		1299

### 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
```

### 65.1.18.3.2 Name <Nm>

*Presence:* [1..1]



*Definition:* Name of the financial instrument in free format text.

*Datatype:* ["Max350Text" on page 2536](#)

#### 65.1.18.3.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.18.3.4 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.18.3.5 UmbrellaName <UmbrlNm>

*Presence:* [0..1]

*Definition:* Name of the umbrella fund in which the financial instrument is contained.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.18.3.6 NewUmbrella <NewUmbrl>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is part of a new umbrella.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.3.7 ClassificationType <ClsfctnTp>

*Presence:* [0..1]

*Definition:* Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

**ClassificationType <ClsfctnTp>** contains one of the following elements (see ["SecurityClassificationType2Choice" on page 1680](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		1680
Or}	AlternateClassification <AltrnClsfctn>	[1..1]	±		1680

#### 65.1.18.3.8 BaseCurrency <BaseCcy>

*Presence:* [0..1]

*Definition:* Currency of the investment fund class.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.18.3.9 CountryOfDomicile <CtryOfDmcl>

*Presence:* [0..1]

*Definition:* Country where the fund has legal domicile.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.18.3.10 RegisteredDistributionCountry <RegdDstrbtnCtry>

*Presence:* [0..\*]

*Definition:* Country where the fund is registered for distribution.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.18.3.11 ProductType <PdctTp>

*Presence:* [0..1]

*Definition:* Classification of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00060.

**ProductType <PdctTp>** contains one of the following **ProductStructure1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1183
Or}	Proprietary <Prtry>	[1..1]	±		1183

**65.1.18.3.11.1 Code <Cd>***Presence:* [1..1]*Definition:* Product structure expressed as a code.*Datatype:* "ProductStructure1Code" on page 2480

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

**65.1.18.3.11.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Product structure expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.18.3.12 Issuer <Issr>***Presence:* [0..1]

*Definition:* Issuer of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00070.

**Issuer <Issr>** contains the following elements (see "ContactAttributes5" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

#### 65.1.18.3.13 IssuerProductGovernanceProcess <IssrPdctGovncPrc>

*Presence:* [0..1]

*Definition:* Governance procedure that must be followed. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00075.

**IssuerProductGovernanceProcess <IssrPdctGovncPrc>** contains one of the following elements (see "GovernanceProcess1Choice" on page 1287 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	±		1287

#### 65.1.18.3.14 ProductCategory <PdctCtgy>

*Presence:* [0..1]

*Definition:* Designation of the product category or nature, for example, Pacific Equity, Equity Fund, Money Market Fund. If the product is a structured security product, the European Structured Investment Products Association (EUSIPA) code should be used as defined in the scope of European MiFID Template (EMT) reference 00095.

*Datatype:* "Max140Text" on page 2535

#### 65.1.18.3.15 ProductCategoryGermany <PdctCtgyDE>

*Presence:* [0..1]

*Definition:* Designation of the respective product category or nature for Germany.

If the financial instrument is distributed in the German market, then the German classification of financial instruments code should be used. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00090.

*Datatype:* "Max140Text" on page 2535

### 65.1.18.3.16 NotionalOrUnitBased <NtnlOrUnitBased>

*Presence:* [0..1]

*Definition:* Specifies whether the financial instrument is unit based or notional (nominal). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00085.

**NotionalOrUnitBased <NtnlOrUnitBased>** contains one of the following **NotionalOrUnitBased1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1185

#### 65.1.18.3.16.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of unit basis for a financial instrument expressed as a code.

*Datatype:* "NotionalOrUnitBased1Code" on page 2468

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

#### 65.1.18.3.16.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of unit basis for a financial instrument expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.18.3.17 QuotationType <QtnTp>

*Presence:* [0..1]

*Definition:* When the financial instrument is a structured security, specifies if the ex-ante and ex-post costs and charges are specified as an absolute figure, that is, a currency and amount, or as a percentage rate, related to the specific reference value.

When used in reference to MiFID, this is in the scope of the European MiFID Template reference 00096.

**QuotationType <QtnTp>** contains one of the following elements (see "QuotationType1Choice" on page 1286 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1286
Or}	Proprietary <Prtry>	[1..1]	±		1287

#### 65.1.18.3.18 LeveragedOrContingentLiability <LvrgdOrCntgntLbilty>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is leveraged or has contingent liability. This enables reporting on the depreciation of leveraged financial instruments or contingent liability transactions in accordance with Art. 62 of the MiFID II's Delegated Regulation as defined in the scope of European MiFID Template (EMT) reference 00100.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.3.19 NoRetrocessionIndicator <NoRtrcssnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the share class does not pay retrocession fees and commissions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00110.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.3.20 ExPostCostCalculationBasis <ExpstCostClctnBsis>

*Presence:* [0..1]

*Definition:* Specifies the basis for ex-post calculations. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00120.

**ExPostCostCalculationBasis <ExpstCostClctnBsis>** contains one of the following **ExPostCostCalculationBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1186
Or}	Proprietary <Prtry>	[1..1]	±		1187

##### 65.1.18.3.20.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Ex post cost calculation basis expressed as a code.

*Datatype:* "ExPostCostCalculationBasis1Code" on page 2440

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

#### 65.1.18.3.20.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Ex post cost calculation basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.3.21 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the security.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.4 PensionSchemeType2Choice

*Definition:* Choice of formats for a type of pension scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188

##### 65.1.18.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a code.

*Datatype:* "[PensionSchemeType2Code](#)" on page 2476

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.

#### 65.1.18.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.18.5 Pension4

*Definition:* Attributes of a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1189
	Identifier <Idr>	[1..1]	Text		1189
	SubIdentifier <Subldr>	[0..1]	Text		1190
	AdditionalInformation <AddtlInf>	[0..1]	±		1190
	Type <Tp>	[0..1]	±		1190
	TransferScope <TrfScp>	[0..1]	±		1190
	TaxReference <TaxRef>	[0..*]	±		1190
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		1191
	AdditionalInformation <AddtlInf>	[0..*]	±		1191

#### 65.1.18.5.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		1189
	SubIdentifier <Subldr>	[0..1]	Text		1190
	AdditionalInformation <AddtlInf>	[0..1]	±		1190

##### 65.1.18.5.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.18.5.1.2 SubIdentifier <Subldr>***Presence:* [0..1]*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.*Datatype:* "Max35Text" on page 2536**65.1.18.5.1.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the identification of the pension policy, plan or scheme.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.18.5.2 Type <Tp>***Presence:* [0..1]*Definition:* Type of pension policy, plan or scheme.**Type <Tp>** contains one of the following elements (see "PensionSchemeType2Choice" on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188

**65.1.18.5.3 TransferScope <TrfScp>***Presence:* [0..1]*Definition:* Scope of the pension policy, plan or scheme transfer.**TransferScope <TrfScp>** contains one of the following elements (see "PensionTransferScope1Choice" on page 1569 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1569
Or}	Proprietary <Prtry>	[1..1]	±		1569

**65.1.18.5.4 TaxReference <TaxRef>***Presence:* [0..\*]*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see "TaxReference1" on page 2273 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2273
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2274
	Reference <Ref>	[1..1]	Text		2274
	HolderType <HldrTp>	[0..1]			2274
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2275

#### 65.1.18.5.5 DrawdownTrancheIdentification <DrwdwnTrchld>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.5.6 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.6 TaxEfficientProduct4

*Definition:* Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1191
	CurrentYear <CurYr>	[0..1]	Indicator		1192
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1192
	AdditionalInformation <AddtlInf>	[0..*]	±		1192

##### 65.1.18.6.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "[TaxEfficientProductType2Choice](#)" on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1225

#### 65.1.18.6.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are to be included.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.6.3 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* [C23 "SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains one of the following elements (see "[PreviousYear2Choice](#)" on page 1681 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1681
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1681

#### Constraints

- **SpecificPreviousYearsGuideline**  
SpecificPreviousYears must not contain the current year.

#### 65.1.18.6.4 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.18.7 Pension3

*Definition:* Attributes of a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1196
	Identifier <Idr>	[1..1]	Text		1196
	SubIdentifier <SubIdr>	[0..1]	Text		1197
	AdditionalInformation <AddtlInf>	[0..1]	±		1197
	Type <Tp>	[1..1]	±		1197
	TransferScope <TrfScp>	[0..1]	±		1197
	TaxReference <TaxRef>	[0..*]	±		1197
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		1198
	DrawdownStatus <DrwdwnSts>	[0..1]	±		1198
	DrawdownType <DrwdwnTp>	[0..1]	±		1198
	EstimatedValue <EstmtdVal>	[0..1]	±		1198
	BlockTransfer <BlckTrf>	[0..1]	Indicator		1199
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		1199
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		1199
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		1199
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		1199
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		1200
	RetirementAge <RtrmntAge>	[0..1]	Quantity		1200
	Sharing <Shrg>	[0..1]	Indicator		1200
	LumpSumType <LumpSumTp>	[0..*]	±		1200
	PensionOrder <PnsnOrd>	[0..*]	±		1200
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		1201
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		1201
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		1201
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntdBnfts>	[0..1]	Indicator		1201
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		1202
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrtcn>	[0..1]	Indicator		1202
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		1202
	AdditionalInformation <AddtlInf>	[0..*]	±		1202

## Constraints

- **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/RetirementAgeProtection Must be absent

- **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

On Condition

/BlockTransfer is equal to value 'false'

Or /BlockTransfer is equal to value '0'

Following Must be True

/TaxFreeCashProtection Must be absent

- **PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

- **RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

On Condition

/RetirementAgeProtection is equal to value 'false'

Or /RetirementAgeProtection is equal to value '0'

Following Must be True

/RetirementAge Must be absent

- **RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

On Condition

/DrawdownStatus/Code is equal to value 'None'

Following Must be True

/RingFencedDrawdownAssets Must be absent

- **RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

On Condition

/DrawdownStatus/Code is equal to value 'Partial'

Or /DrawdownStatus/Code is equal to value 'Full'

Following Must be True

/RingFencedDrawdownAssets Must be present

- **TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition

/TaxFreeCashProtection is equal to value 'false'

Or /TaxFreeCashProtection is equal to value '0'

Following Must be True

/TaxFreeCashAmount Must be absent

- **TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition

/TaxFreeCashProtection is equal to value 'true'

Or /TaxFreeCashProtection is equal to value '1'

Following Must be True

/TaxFreeCashAmount Must be present

And /ValueOfPensionPolicyOrPlanOrScheme Must be present

- **TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition

/TransferScope/Code is different from value 'DrawdownTranche'

Following Must be True

/DrawdownTrancheIdentification Must be absent

### 65.1.18.7.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the pension policy, plan or scheme.

**Identification <Id>** contains the following **PensionPolicy1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identifier <Idr>	[1..1]	Text		1196
	SubIdentifier <SubIdr>	[0..1]	Text		1197
	AdditionalInformation <AddtlInf>	[0..1]	±		1197

#### 65.1.18.7.1.1 Identifier <Idr>

*Presence:* [1..1]

*Definition:* Reference number of the pension policy, plan or scheme.

*Datatype:* "Max35Text" on page 2536



**65.1.18.7.1.2 SubIdentifier <Subldr>***Presence:* [0..1]*Definition:* Sub-identification of the pension policy, plan or scheme, such as a member reference.*Datatype:* "Max35Text" on page 2536**65.1.18.7.1.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the identification of the pension policy, plan or scheme.**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.18.7.2 Type <Tp>***Presence:* [1..1]*Definition:* Type of pension policy, plan or scheme.**Type <Tp>** contains one of the following elements (see "PensionSchemeType2Choice" on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188

**65.1.18.7.3 TransferScope <TrfScp>***Presence:* [0..1]*Definition:* Scope of the pension policy, plan or scheme transfer.**TransferScope <TrfScp>** contains one of the following elements (see "PensionTransferScope1Choice" on page 1569 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1569
Or}	Proprietary <Prtry>	[1..1]	±		1569

**65.1.18.7.4 TaxReference <TaxRef>***Presence:* [0..\*]*Definition:* Tax reference issued to the pension policy, plan or scheme by a central organisation.

**TaxReference <TaxRef>** contains the following elements (see ["TaxReference1"](#) on page 2273 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2273
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2274
	Reference <Ref>	[1..1]	Text		2274
	HolderType <HldrTp>	[0..1]			2274
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2275

#### 65.1.18.7.5 DrawdownTrancheIdentification <DrwdwnTrchld>

*Presence:* [0..1]

*Definition:* Reference of the drawdown.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.18.7.6 DrawdownStatus <DrwdwnSts>

*Presence:* [0..1]

*Definition:* Drawdown status of the pension.

**DrawdownStatus <DrwdwnSts>** contains one of the following elements (see ["DrawdownStatus1Choice"](#) on page 2187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2187
Or}	Proprietary <Prtry>	[1..1]	±		2187

#### 65.1.18.7.7 DrawdownType <DrwdwnTp>

*Presence:* [0..1]

*Definition:* Type of drawdown tranche.

**DrawdownType <DrwdwnTp>** contains one of the following elements (see ["DrawdownType2Choice"](#) on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1572
Or}	Proprietary <Prtry>	[1..1]	±		1572

#### 65.1.18.7.8 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the pension policy, plan or scheme.

**EstimatedValue <EstmtdVal>** contains the following elements (see ["DateAndAmount2"](#) on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.7.9 BlockTransfer <BlckTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer forms part of a block transfer.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.10 BlockTransferReference <BlckTrfRef>

*Presence:* [0..1]

*Definition:* When the transfer is part of a block transfer, reference to link several items.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.18.7.11 TaxFreeCashProtection <TaxFreeCshPrctn>

*Presence:* [0..1]

*Definition:* Indicates whether the tax-free cash is protected when the pension policy, plan or scheme is transferred.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.12 TaxFreeCashAmount <TaxFreeCshAmt>

*Presence:* [0..1]

*Definition:* Amount of cash that is tax free.

**TaxFreeCashAmount <TaxFreeCshAmt>** contains the following elements (see ["DateAndAmount2"](#) on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.7.13 ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>

*Presence:* [0..1]

*Definition:* Value of the pension policy, plan or scheme.

**ValueOfPensionPolicyOrPlanOrScheme** <ValOfPnsnPlcyOrPlanOrSchme> contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.7.14 RetirementAgeProtection <RtrmntAgePrtcn>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has retirement age protection.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.15 RetirementAge <RtrmntAge>

*Presence:* [0..1]

*Definition:* Age at which the pension policy, plan or scheme holder retires.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.18.7.16 Sharing <Shrg>

*Presence:* [0..1]

*Definition:* Indicates whether the pension benefits are shared.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.17 LumpSumType <LumpSumTp>

*Presence:* [0..\*]

*Definition:* Type of lump sum paid to a member of the pension policy, plan or scheme.

**LumpSumType** <LumpSumTp> contains one of the following elements (see "LumpSumType1Choice" on page 1571 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1571
Or}	Proprietary <Prtry>	[1..1]	±		1572

#### 65.1.18.7.18 PensionOrder <PnsnOrdr>

*Presence:* [0..\*]

*Definition:* Order attached to the pension policy, plan or scheme.

**PensionOrder <PnsnOrdr>** contains the following elements (see "[PensionOrder1](#)" on page 1570 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1570
{Or	Code <Cd>	[1..1]	CodeSet		1570
Or}	Proprietary <Prtry>	[1..1]	±		1571
	AdditionalInformation <AddtlInf>	[0..*]	±		1571

#### 65.1.18.7.19 RingFencedDrawdownAssets <RingFncdDrwdwnAssts>

*Presence:* [0..1]

*Definition:* Indicates whether assets held within the pension are ring-fenced into specific tranches.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.20 MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>

*Presence:* [0..1]

*Definition:* Money Purchase Annual Allowance (MPAA) details.

**MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>** contains the following elements (see "[MoneyPurchaseAnnualAllowance1](#)" on page 1569 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1570
	TriggeredDate <TrggrdDt>	[0..1]	Date		1570

#### 65.1.18.7.21 SafeguardBenefit <SfgrdBnft>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme is covered by a safeguard benefit.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.22 NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has non-safeguarded guaranteed benefits.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.23 LifetimeAllowanceProtection <LftmAllwncPrtcn>

*Presence:* [0..1]

*Definition:* Indicates whether the pension policy, plan or scheme has lifetime allowance protection.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.24 ClientLifetimeAllowanceProtection <ClntLftmAllwncPrtcn>

*Presence:* [0..1]

*Definition:* Indicates whether the client has any lifetime allowance protection.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.25 BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>

*Presence:* [0..1]

*Definition:* Indicates whether a benefit crystallisation event (BCE) has occurred. This includes 'age 75 checks'.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.7.26 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension policy, plan or scheme.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.8 TaxEfficientProduct5

*Definition:* Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1204
	CurrentYear <CurYr>	[0..1]	Indicator		1204
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1205
	PreviousYears <PrvsYrs>	[0..1]		C43	1205
	PreviousYears <PrvsYrs>	[1..1]			1205
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1205
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1206
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1206
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C2	1206
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C2	1206
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		1206
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	1207
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1207
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1207
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1207
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1208
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			1208
	TypeOfAmount <TpOfAmt>	[1..1]			1208
{Or	Code <Cd>	[1..1]	CodeSet		1209
Or}	Proprietary <Prtry>	[1..1]	±		1209
	Amount <Amt>	[0..1]	Amount	C3	1209
	Reason <Rsn>	[0..1]			1210
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C3	1210
	Outstanding <Outsdng>	[0..1]	Indicator		1211
	Reference <Ref>	[0..1]	Text		1211
	AdditionalInformation <AddtlInf>	[0..*]	±		1211
	TransferorAlternateIdentification <TrfrAltrnld>	[0..1]	Text		1211
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C2, C10	1211
	OtherAmount <OthrAmt>	[0..*]			1212

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1212
	Amount <Amt>	[1..1]	Amount	C2, C10	1212
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		1213
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1213
	Type <Tp>	[0..1]			1213
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213
	Reference <Ref>	[1..1]	Text		1214
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		1214
	InnovativeFinance <InnvtrFinc>	[0..*]			1214
	Type <Tp>	[1..1]	±		1214
	Information <Inf>	[1..1]	Text		1215
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C2	1215
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C2	1215
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C2	1215
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1216
	EstimatedValue <EstmtdVal>	[0..1]	±		1216
	AdditionalInformation <AddtlInf>	[0..*]	±		1216

#### 65.1.18.8.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1225

#### 65.1.18.8.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are included.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):



- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.8.3 CashComponentIndicator <CshCmpntInd>

*Presence:* [0..1]

*Definition:* Indicates whether, for the current year, the product contains a cash asset for transfer.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.8.4 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* C43 "SpecificPreviousYearsGuideline"

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			1205
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1205
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1206
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1206

#### Constraints

- **SpecificPreviousYearsGuideline**  
SpecificPreviousYears must not contain the current year.

#### 65.1.18.8.4.1 PreviousYears <PrvsYrs>

*Presence:* [1..1]

*Definition:* Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1205
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1206

#### 65.1.18.8.4.1.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.

*Datatype:* "PreviousAll" on page 2537

**65.1.18.8.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>**

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2538

**65.1.18.8.4.2 CashComponentIndicator <CshCmpntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.8.5 PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>**

*Presence:* [0..1]

*Definition:* Subscriptions from the previous subscription year.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.8.6 PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in all previous years.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.8.7 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [0..1]

*Definition:* Date the investment plan started.

*Datatype:* "ISODate" on page 2521

**65.1.18.8.8 CurrentYearSubscriptionDetails <CurYrSbcptDtls>**

*Presence:* [0..1]

*Definition:* Amounts already subscribed for the current year.

*Impacted by:* C46 "TotalAmountYearToDateRule"

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1207
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1207
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1207
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1208

**Constraints**

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**65.1.18.8.8.1 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [1..1]

*Definition:* Date of the first subscription in the current year.

*Datatype:* "ISODate" on page 2521

**65.1.18.8.8.2 EquityComponent <EqtyCmpnt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into equities (not including dividends).

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.8.8.3 CashComponent <CshCmpnt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.8.4 TotalAmountYearToDate <TtlAmtYrToDt>**

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.8.9 BonusOrWithdrawal <BnsOrWdrwl>**

*Presence:* [0..\*]

*Definition:* Bonus paid out or withdrawn.

**BonusOrWithdrawal <BnsOrWdrwl>** contains the following **BonusWithdrawal2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TypeOfAmount <TpOfAmt>	[1..1]			1208
{Or	Code <Cd>	[1..1]	CodeSet		1209
Or}	Proprietary <Prtry>	[1..1]	±		1209
	Amount <Amt>	[0..1]	Amount	C3	1209
	Reason <Rsn>	[0..1]			1210
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C3	1210
	Outstanding <Outsdng>	[0..1]	Indicator		1211
	Reference <Ref>	[0..1]	Text		1211
	AdditionalInformation <AddtlInf>	[0..*]	±		1211

**65.1.18.8.9.1 TypeOfAmount <TpOfAmt>**

*Presence:* [1..1]

*Definition:* Specifies whether the amount is the result of a bonus paid, a withdrawal or other kind of amount.

**TypeOfAmount <TpOfAmt>** contains one of the following **TypeOfAmount1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1209
Or}	Proprietary <Prtry>	[1..1]	±		1209

#### 65.1.18.8.9.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of amount expressed as a code.

*Datatype:* "TaxWrapperAmountType1Code" on page 2510

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

#### 65.1.18.8.9.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of amount expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.8.9.2 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of the bonus paid or the claimed amount. For example, a claimed amount for a lifetime ISA (LISA) or a government bonus paid out.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.9.3 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the bonus amount paid to or an amount withdrawn from the investment product.

**Reason <Rsn>** contains one of the following **WithdrawalReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210

##### 65.1.18.8.9.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a code.

*Datatype:* "PortfolioWithdrawalReason1Code" on page 2479

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

##### 65.1.18.8.9.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Withdrawal reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.18.8.9.4 UnclaimedAmount <UclmdAmt>

*Presence:* [0..1]

*Definition:* Amount of an unclaimed bonus or an unclaimed withdrawal.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyAnd13DecimalAmount](#)" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.9.5 Outstanding <Outsdng>

*Presence:* [0..1]

*Definition:* Indicates whether there is an outstanding bonus or withdrawal amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.8.9.6 Reference <Ref>

*Presence:* [0..1]

*Definition:* Identification of the withdrawal or bonus.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.18.8.9.7 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the monies paid out or withdrawn.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.8.10 TransferorAlternateIdentification <TrfrAltrnId>

*Presence:* [0..1]

*Definition:* Alternative identification for the transferor (ceding party), for example, the 'ISA manager Z reference' in the UK.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.18.8.11 TotalSubscriptionAmount <TtlSbcptAmt>

*Presence:* [0..1]

*Definition:* Total amount subscribed over the lifetime of the product.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.18.8.12 OtherAmount <OthrAmt>

*Presence:* [0..\*]

*Definition:* Another amount such as the total qualifying additions in the year of transfer, interest capitalised in the current year, total outstanding dividend and so on.

**OtherAmount <OthrAmt>** contains the following **OtherAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1212
	Amount <Amt>	[1..1]	Amount	C2, C10	1212

#### 65.1.18.8.12.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of amount.

**Type <Tp>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.18.8.12.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Currency and amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.18.8.13 DateFirstQualifyingAddition <DtFrstQlfygAddtn>

*Presence:* [0..1]

*Definition:* Date the first qualifying additional amount was made to the product. Qualifying additional amounts may be made to a Lifetime Individual Savings Account (LISA) product.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.8.14 InvestorTaxReference <InvstrTaxRef>

*Presence:* [0..1]

*Definition:* Identification of the investor as assigned by a tax authority.

**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1213
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213
	Reference <Ref>	[1..1]	Text		1214

##### 65.1.18.8.14.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213

##### 65.1.18.8.14.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.

*Datatype:* "PersonIdentificationType7Code" on page 2477

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

##### 65.1.18.8.14.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.8.14.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.18.8.15 InvestmentsToFollowValue <InvstmtsToFlwVal>

*Presence:* [0..\*]

*Definition:* Value of the investments to follow.

**InvestmentsToFollowValue <InvstmtsToFlwVal>** contains the following elements (see "[DateAndAmount2](#)" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.8.16 InnovativeFinance <InnvtfvFinc>

*Presence:* [0..\*]

*Definition:* Information about an innovative finance product.

**InnovativeFinance <InnvtfvFinc>** contains the following **InnovativeFinance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1214
	Information <Inf>	[1..1]	Text		1215

##### 65.1.18.8.16.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of innovative finance product.

**Type <Tp>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.8.16.2 Information <Inf>

*Presence:* [1..1]

*Definition:* Details of an innovative finance product.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.18.8.17 LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>

*Presence:* [0..1]

*Definition:* Lowest investment amount in the current year, used to calculate a tax deduction amount.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.18 TaxCalculationBase <TaxClctnBase>

*Presence:* [0..1]

*Definition:* Amount of money from which the tax deduction is calculated.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.19 UnusedTaxDeduction <UusdTaxDdctn>

*Presence:* [0..1]

*Definition:* Unused tax deduction amount.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.20 CurrentInvestmentAmount <CurInvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.8.21 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the assets of the tax efficient product to be transferred.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.8.22 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.18.9 GeneralInvestment2

*Definition:* Information about a general investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1217
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1217
	CurrentInvestmentAmount <CurlnvstmtAmt>	[0..1]	Amount	C2	1218
	EstimatedValue <EstmtdVal>	[0..1]	±		1219
	AdditionalInformation <AddtlInf>	[0..*]	±		1219

#### 65.1.18.9.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of investment.

**Type <Tp>** contains one of the following elements (see "[GeneralInvestmentAccountType2Choice](#)" on page 1223 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1224

#### 65.1.18.9.2 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Specifies whether the account is, for example, in a nominee name or own name.

*Datatype:* "AccountOwnershipType6Code" on page 2415

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more

CodeName	Name	Definition
		individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	The person is ...

### 65.1.18.9.3 CurrentInvestmentAmount <CurInvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money invested.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.9.4 EstimatedValue <EstmtdVal>

*Presence:* [0..1]

*Definition:* Estimated value of the assets.

**EstimatedValue <EstmtdVal>** contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.9.5 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the portfolio.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.10 TaxEfficientProduct6

*Definition:* Characteristics of a tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1220
	CurrentYear <CurYr>	[0..1]	Indicator		1220
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1220
	PreviousYears <PrvsYrs>	[0..1]		C43	1221
	PreviousYears <PrvsYrs>	[1..1]			1221
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1221
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1221
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1222
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	1222
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1222
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1222
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1223
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1223
	AdditionalInformation <AddtlInf>	[0..*]	±		1223

#### 65.1.18.10.1 TaxEfficientProductType <TaxEffcntPdctTp>

*Presence:* [1..1]

*Definition:* Type of tax efficient product, for example, an individual savings account (ISA) in the UK.

**TaxEfficientProductType <TaxEffcntPdctTp>** contains one of the following elements (see "TaxEfficientProductType2Choice" on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1225

#### 65.1.18.10.2 CurrentYear <CurYr>

*Presence:* [0..1]

*Definition:* Indicates that all the current fiscal year's products are to be included.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.10.3 CashComponentIndicator <CshCmpntInd>

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer.



*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.10.4 PreviousYears <PrvsYrs>

*Presence:* [0..1]

*Definition:* Investment plans issued during previous years.

*Impacted by:* C43 ["SpecificPreviousYearsGuideline"](#)

**PreviousYears <PrvsYrs>** contains the following **PreviousYear4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PreviousYears <PrvsYrs>	[1..1]			1221
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1221
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1221
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1222

#### Constraints

- **SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

#### 65.1.18.10.4.1 PreviousYears <PrvsYrs>

*Presence:* [1..1]

*Definition:* Investment plans issued during previous years.

**PreviousYears <PrvsYrs>** contains one of the following **PreviousYear1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1221
Or}	SpecificPreviousYears <SpcfcPrvsYrs>	[1..*]	Year		1221

#### 65.1.18.10.4.1.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.

*Datatype:* ["PreviousAll"](#) on page 2537

#### 65.1.18.10.4.1.2 SpecificPreviousYears <SpcfcPrvsYrs>

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* ["ISOYear"](#) on page 2538

**65.1.18.10.4.2 CashComponentIndicator <CshCmpntInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the product contains a cash asset for transfer from previous years.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.10.5 CurrentYearSubscriptionDetails <CurYrSbcptDtls>**

*Presence:* [0..1]

*Definition:* Amounts already subscribed for the current year.

*Impacted by:* [C46 "TotalAmountYearToDateRule"](#)

**CurrentYearSubscriptionDetails <CurYrSbcptDtls>** contains the following **SubscriptionInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1222
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1222
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1223
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1223

**Constraints**

- **TotalAmountYearToDateRule**

TotalAmountYearToDate must be equal to the sum of EquityComponent and CashComponent if present.

**65.1.18.10.5.1 DateOfFirstSubscription <DtOfFrstSbcpt>**

*Presence:* [1..1]

*Definition:* Date of the first subscription in the current year.

*Datatype:* ["ISODate"](#) on page 2521

**65.1.18.10.5.2 EquityComponent <EqtyCmpnt>**

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into equities (not including dividends).

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyAnd13DecimalAmount"](#) on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.10.5.3 CashComponent <CshCmpnt>

*Presence:* [0..1]

*Definition:* Amount subscribed in the current tax year into cash.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.10.5.4 TotalAmountYearToDate <TtlAmtYrToDt>

*Presence:* [1..1]

*Definition:* Total amount subscribed in the current tax year.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.10.6 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the tax efficient product.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.11 GeneralInvestmentAccountType2Choice

*Definition:* Choice of formats for a type of investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1224

#### 65.1.18.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of investment account expressed as a code.

*Datatype:* "GeneralInvestmentAccountType2Code" on page 2447

CodeName	Name	Definition
ANY	Any	Any type of general investment account.
EQU	ShareSavingsAccount	General shares or equity savings account.

#### 65.1.18.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of investment account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.12 TaxEfficientProductType2Choice

*Definition:* Choice of formats for a type of tax efficient product.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1224
Or}	Proprietary <Prtry>	[1..1]	±		1225

#### 65.1.18.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax efficient product expressed as a code.

*Datatype:* "TaxEfficientProductType2Code" on page 2500

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.

CodeName	Name	Definition
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringsparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNF	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

### 65.1.18.12.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax efficient product expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.18.13 FundPortfolio4Choice

*Definition:* Choice of different types of portfolio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1226
Or	GeneralInvestment <Gnllnvstmt>	[1..1]	±		1226
Or}	Pension <Pnsn>	[1..1]	±		1226

#### 65.1.18.13.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct <TaxEffcntPdct>** contains the following elements (see "[TaxEfficientProduct4](#)" on page 1191 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1191
	CurrentYear <CurYr>	[0..1]	Indicator		1192
	PreviousYears <PrvsYrs>	[0..1]	±	C23	1192
	AdditionalInformation <AddtlInf>	[0..*]	±		1192

#### 65.1.18.13.2 GeneralInvestment <Gnllnvstmt>

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <Gnllnvstmt>** contains the following elements (see "[GeneralInvestment2](#)" on page 1217 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1217
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1217
	CurrentInvestmentAmount <CurlnvstmtAmt>	[0..1]	Amount	C2	1218
	EstimatedValue <EstmtdVal>	[0..1]	±		1219
	AdditionalInformation <AddtlInf>	[0..*]	±		1219

#### 65.1.18.13.3 Pension <Pnsn>

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.

**Pension <Pnsn>** contains the following elements (see "Pension4" on page 1189 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1189
	Identifier <Idr>	[1..1]	Text		1189
	SubIdentifier <Subldr>	[0..1]	Text		1190
	AdditionalInformation <AddtlInf>	[0..1]	±		1190
	Type <Tp>	[0..1]	±		1190
	TransferScope <TrfScp>	[0..1]	±		1190
	TaxReference <TaxRef>	[0..*]	±		1190
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		1191
	AdditionalInformation <AddtlInf>	[0..*]	±		1191

#### 65.1.18.14 FundPortfolio5Choice

*Definition:* Choice of different types of portfolio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1227
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		1229
Or}	Pension <Pnsn>	[1..1]	±	C10, C11, C36, C37, C38, C39, C44, C45, C48	1230

##### 65.1.18.14.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct <TaxEffcntPdct>** contains the following elements (see "TaxEfficientProduct5" on page 1202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1204
	CurrentYear <CurYr>	[0..1]	Indicator		1204
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1205
	PreviousYears <PrvsYrs>	[0..1]		C43	1205
	PreviousYears <PrvsYrs>	[1..1]			1205
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1205
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1206
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1206
	PreviousYearSubscriptionAmount <PrvsYrSbcptAmt>	[0..1]	Amount	C2	1206
	PreviousYearsSubscriptionAmount <PrvsYrsSbcptAmt>	[0..1]	Amount	C2	1206
	DateOfFirstSubscription <DtOfFrstSbcpt>	[0..1]	Date		1206
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	1207
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1207
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1207
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1207
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1208
	BonusOrWithdrawal <BnsOrWdrwl>	[0..*]			1208
	TypeOfAmount <TpOfAmt>	[1..1]			1208
{Or	Code <Cd>	[1..1]	CodeSet		1209
Or}	Proprietary <Prtry>	[1..1]	±		1209
	Amount <Amt>	[0..1]	Amount	C3	1209
	Reason <Rsn>	[0..1]			1210
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210
	UnclaimedAmount <UclmdAmt>	[0..1]	Amount	C3	1210
	Outstanding <Outsdng>	[0..1]	Indicator		1211
	Reference <Ref>	[0..1]	Text		1211
	AdditionalInformation <AddtlInf>	[0..*]	±		1211
	TransferorAlternateIdentification <TrfrAltrnId>	[0..1]	Text		1211
	TotalSubscriptionAmount <TtlSbcptAmt>	[0..1]	Amount	C2, C10	1211



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAmount <OthrAmt>	[0..*]			1212
	Type <Tp>	[1..1]	±		1212
	Amount <Amt>	[1..1]	Amount	C2, C10	1212
	DateFirstQualifyingAddition <DtFrstQlfygAddtn>	[0..1]	Date		1213
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1213
	Type <Tp>	[0..1]			1213
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213
	Reference <Ref>	[1..1]	Text		1214
	InvestmentsToFollowValue <InvstmtsToFlwVal>	[0..*]	±		1214
	InnovativeFinance <Innvtfnc>	[0..*]			1214
	Type <Tp>	[1..1]	±		1214
	Information <Inf>	[1..1]	Text		1215
	LowestInvestedAmountCurrentYear <LwstInvstdAmtCurYr>	[0..1]	Amount	C2	1215
	TaxCalculationBase <TaxClctnBase>	[0..1]	Amount	C2	1215
	UnusedTaxDeduction <UusdTaxDdctn>	[0..1]	Amount	C2	1215
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1216
	EstimatedValue <EstmtdVal>	[0..1]	±		1216
	AdditionalInformation <AddtlInf>	[0..*]	±		1216

#### 65.1.18.14.2 GeneralInvestment <GnllInvstmt>

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <GnllInvstmt>** contains the following elements (see "[GeneralInvestment2](#)" on page 1217 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1217
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1217
	CurrentInvestmentAmount <CurlInvstmtAmt>	[0..1]	Amount	C2	1218
	EstimatedValue <EstmtdVal>	[0..1]	±		1219
	AdditionalInformation <AddtlInf>	[0..*]	±		1219

**65.1.18.14.3 Pension <Pnsn>**

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.

*Impacted by:* C10 "BlockTransferRetirementAgeProtectionRule", C11 "BlockTransferTaxFreeCashProtectionRule", C36 "PensionOrderTypeGuideline", C37 "RetirementAgeRule", C38 "RingFencedDrawdownAssets1Rule", C39 "RingFencedDrawdownAssets2Rule", C44 "TaxFreeCashAmountRule", C45 "TaxFreeCashAndValueRule", C48 "TransferScopeTrancheIdentification1Rule"

**Pension <Pnsn>** contains the following elements (see "Pension3" on page 1193 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1196
	Identifier <Idr>	[1..1]	Text		1196
	SubIdentifier <Subldr>	[0..1]	Text		1197
	AdditionalInformation <AddtlInf>	[0..1]	±		1197
	Type <Tp>	[1..1]	±		1197
	TransferScope <TrfScp>	[0..1]	±		1197
	TaxReference <TaxRef>	[0..*]	±		1197
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		1198
	DrawdownStatus <DrwdwnSts>	[0..1]	±		1198
	DrawdownType <DrwdwnTp>	[0..1]	±		1198
	EstimatedValue <EstmtdVal>	[0..1]	±		1198
	BlockTransfer <BlckTrf>	[0..1]	Indicator		1199
	BlockTransferReference <BlckTrfRef>	[0..1]	Text		1199
	TaxFreeCashProtection <TaxFreeCshPrtcn>	[0..1]	Indicator		1199
	TaxFreeCashAmount <TaxFreeCshAmt>	[0..1]	±		1199
	ValueOfPensionPolicyOrPlanOrScheme <ValOfPnsnPlcyOrPlanOrSchme>	[0..1]	±		1199
	RetirementAgeProtection <RtrmntAgePrtcn>	[0..1]	Indicator		1200
	RetirementAge <RtrmntAge>	[0..1]	Quantity		1200
	Sharing <Shrg>	[0..1]	Indicator		1200
	LumpSumType <LumpSumTp>	[0..*]	±		1200
	PensionOrder <PnsnOrd>	[0..*]	±		1200
	RingFencedDrawdownAssets <RingFncdDrwdwnAssts>	[0..1]	Indicator		1201
	MoneyPurchaseAnnualAllowance <MnyPurchsAnlAllwnc>	[0..1]	±		1201
	SafeguardBenefit <SfgrdBnft>	[0..1]	Indicator		1201
	NonSafeguardedGuaranteedBenefits <NonSfgrddGrntedBnfts>	[0..1]	Indicator		1201
	LifetimeAllowanceProtection <LftmAllwncPrtcn>	[0..1]	Indicator		1202
	ClientLifetimeAllowanceProtection <ClntLftmAllwncPrtcn>	[0..1]	Indicator		1202
	BenefitCrystallisationEventOccurred <BnftCrstllstnEvtOcrd>	[0..1]	Indicator		1202
	AdditionalInformation <AddtlInf>	[0..*]	±		1202

## Constraints

- **BlockTransferRetirementAgeProtectionRule**

If BlockTransfer is "false" or "0" (No), then RetirementAgeProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then RetirementAgeProtection may be present.

```
On Condition
    /BlockTransfer is equal to value 'false'
Or
    /BlockTransfer is equal to value '0'
Following Must be True
    /RetirementAgeProtection Must be absent
```

- **BlockTransferTaxFreeCashProtectionRule**

If BlockTransfer is "false" or "0" (No), then TaxFreeCashProtection is not allowed.

If BlockTransfer is "true" or "1" (Yes), then TaxFreeCashProtection may be present.

```
On Condition
    /BlockTransfer is equal to value 'false'
Or
    /BlockTransfer is equal to value '0'
Following Must be True
    /TaxFreeCashProtection Must be absent
```

- **PensionOrderTypeGuideline**

A pension policy, plan or scheme cannot have both an earmark and a sharing order.

If PensionOrder/Type/Code/SHAR is present, then PensionOrder/Type/Code/EARM is not allowed.

If PensionOrder/Type/Code/EARM is present, then PensionOrder/Type/Code/SHAR is not allowed.

- **RetirementAgeRule**

If RetirementAgeProtection is "false" or "0" (No), then RetirementAge is not allowed.

If RetirementAgeProtection is "true" or "1" (Yes), then RetirementAge may be present.

```
On Condition
    /RetirementAgeProtection is equal to value 'false'
Or
    /RetirementAgeProtection is equal to value '0'
Following Must be True
    /RetirementAge Must be absent
```

- **RingFencedDrawdownAssets1Rule**

If DrawdownStatus/Code/NONE (None) is present, then RingFencedDrawdownAssets is not allowed.

```
On Condition
    /DrawdownStatus/Code is equal to value 'None'
Following Must be True
    /RingFencedDrawdownAssets Must be absent
```

- **RingFencedDrawdownAssets2Rule**

If DrawdownStatus/Code/PART (Partial) or FULL (Full) is present, then RingFencedDrawdownAssets must be present.

```
On Condition
    /DrawdownStatus/Code is equal to value 'Partial'
Or
    /DrawdownStatus/Code is equal to value 'Full'
Following Must be True
    /RingFencedDrawdownAssets Must be present
```

- **TaxFreeCashAmountRule**

If TaxFreeCashProtection is "false" or "0" (No), then TaxFreeCashAmount is not allowed.

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount may be present.

On Condition

    /TaxFreeCashProtection is equal to value 'false'

Or      /TaxFreeCashProtection is equal to value '0'

Following Must be True

    /TaxFreeCashAmount Must be absent

- **TaxFreeCashAndValueRule**

If TaxFreeCashProtection is "true" or "1" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme must be present.

If TaxFreeCashProtection is "false" or "0" (Yes), then TaxFreeCashAmount and ValueOfPensionPolicyOrPlanOrScheme may be present.

On Condition

    /TaxFreeCashProtection is equal to value 'true'

Or      /TaxFreeCashProtection is equal to value '1'

Following Must be True

    /TaxFreeCashAmount Must be present

And      /ValueOfPensionPolicyOrPlanOrScheme Must be present

- **TransferScopeTrancheIdentification1Rule**

If TransferScope/Code/SDDT (DrawdownTranche) is not present, then DrawdownTrancheIdentification is not allowed.

If TransferScope/Code/SDDT (DrawdownTranche) is present, then DrawdownTrancheIdentification may be present.

On Condition

    /TransferScope/Code is different from value 'DrawdownTranche'

Following Must be True

    /DrawdownTrancheIdentification Must be absent

## 65.1.18.15 FinancialInstrument84

*Definition:* Identification of a security or other asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Lineldentification <Lineld>	[0..1]	Text		1234
	Instrument <Instrm>	[1..1]			1234
{Or	Security <Scty>	[1..1]	±	C26	1234
Or	CashAsset <CshAsst>	[1..1]	±		1235
Or}	OtherAsset <OthrAsst>	[1..1]	±		1235
	ClientReference <ClntRef>	[0..1]	±		1236
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1236
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1236
	Transferor <Trfr>	[0..1]	±		1237
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1237
	AdditionalInformation <AddtlInf>	[0..*]	±		1238

#### 65.1.18.15.1 Lineldentification <Lineld>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.15.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument61Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C26	1234
Or	CashAsset <CshAsst>	[1..1]	±		1235
Or}	OtherAsset <OthrAsst>	[1..1]	±		1235

#### 65.1.18.15.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* C26 "IdentificationGuideline"

**Security <Scty>** contains the following elements (see "FinancialInstrumentIdentification2" on page 1316 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1316
	Name <Nm>	[0..1]	Text		1317
	ShortName <ShrtNm>	[0..1]	Text		1317
	ClassificationType <ClssfctnTp>	[0..1]	±		1317

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.18.15.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

**CashAsset <CshAsst>** contains the following elements (see "CashAsset2" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1306
{Or	Code <Cd>	[1..1]	CodeSet		1306
Or}	Proprietary <Prtry>	[1..1]	±		1307
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1307
	AdditionalInformation <AddtlInf>	[0..1]	±		1307

#### 65.1.18.15.2.3 OtherAsset <OthrAsst>

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1312 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1312
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313
	Identification <Id>	[1..1]	Text		1313
	Name <Nm>	[0..1]	Text		1313
	Description <Desc>	[0..1]	Text		1314
	OtherIdentification <OthrlId>	[0..5]	Text		1314
	AdditionalInformation <AddtlInf>	[0..*]	±		1314

#### 65.1.18.15.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.18.15.4 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.18.15.5 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.



(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.15.6 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.15.7 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters18" on page 2336 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2337
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2337
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2338
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2338
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2338

#### 65.1.18.15.8 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.16 FinancialInstrument85

*Definition:* Identification of a security or other asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1239
	Instrument <Instrm>	[1..1]			1239
{Or	Security <Scty>	[1..1]	±	C20	1240
Or	CashAsset <CshAsst>	[1..1]	±		1240
Or}	OtherAsset <OthrAsst>	[1..1]	±		1241
	Quantity <Qty>	[0..1]	±		1241
	UnitsDetails <UnitsDtls>	[0..*]	±		1242
	ClientReference <ClntRef>	[0..1]	±		1242
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1243
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1243
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C3, C12	1243
	TotalBookValue <TtlBookVal>	[0..1]	±		1244
	LatestValuation <LatstValtn>	[0..1]	±		1244
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1244
	Transferor <Trfr>	[0..*]	±		1245
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1245
	CrystallisationDetails <CrstlStnDtls>	[0..*]	±		1246
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1246
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..*]	±		1247
	AdditionalInformation <AddtlInf>	[0..*]	±		1247

### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

#### 65.1.18.16.1 LineIdentification <LineId>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.16.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument** <Instrm> contains one of the following **FinancialInstrument62Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C20	1240
Or	CashAsset <CshAsst>	[1..1]	±		1240
Or}	OtherAsset <OthrAsst>	[1..1]	±		1241

#### 65.1.18.16.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* C20 "IdentificationGuideline"

**Security** <Scty> contains the following elements (see "FinancialInstrumentIdentification3" on page 1307 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1308
	Name <Nm>	[0..1]	Text		1309
	ShortName <ShrtNm>	[0..1]	Text		1309
	ClassificationType <ClssfctnTp>	[0..1]	±		1309
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1310
	AlternateSecurity <AltrnScty>	[0..*]		C21	1310
	Identification <Id>	[1..1]	±		1310
	Name <Nm>	[0..1]	Text		1311
	ShortName <ShrtNm>	[0..1]	Text		1311
	ClassificationType <ClssfctnTp>	[0..1]	±		1311
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1312

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.18.16.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

**CashAsset <CshAsst>** contains the following elements (see "CashAsset2" on page 1306 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1306
{Or	Code <Cd>	[1..1]	CodeSet		1306
Or}	Proprietary <Prtry>	[1..1]	±		1307
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1307
	AdditionalInformation <AddtlInf>	[0..1]	±		1307

#### 65.1.18.16.2.3 OtherAsset <OthrAsst>

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1312 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1312
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313
	Identification <Id>	[1..1]	Text		1313
	Name <Nm>	[0..1]	Text		1313
	Description <Desc>	[0..1]	Text		1314
	OtherIdentification <OthrId>	[0..5]	Text		1314
	AdditionalInformation <AddtlInf>	[0..*]	±		1314

#### 65.1.18.16.3 Quantity <Qty>

*Presence:* [0..1]

*Definition:* Specifies the quantity of assets to be transferred in units or in a percentage rate.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2126
	PercentageRate <PctgRate>	[0..1]	Rate		2127
	FaceAmount <FaceAmt>	[0..1]	Amount		2127
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2127
	CashAmount <CshAmt>	[0..1]	Amount	C2	2127
	OtherAsset <OthrAsst>	[0..1]	Text		2127

#### 65.1.18.16.4 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1326
	OrderDate <OrdDt>	[0..1]	Date		1326
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1326
	CertificateNumber <CertNb>	[0..*]	Text		1327
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1327
	Reference <Ref>	[0..1]	Text		1327
	PriceDetails <PricDtls>	[0..1]	±		1327
	TransactionOverhead <TxOvrhd>	[0..1]		C31, C47	1328
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330
	OtherAmount <OthrAmt>	[0..*]			1331
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332

#### 65.1.18.16.5 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.18.16.6 CounterpartyReference <CtrPtyRef>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see ["AdditionalReference10"](#) on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.18.16.7 BusinessFlowType <BizFlowTp>

*Presence:* [0..1]

*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

*Datatype:* ["BusinessFlowType1Code"](#) on page 2420

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

#### 65.1.18.16.8 AverageAcquisitionPrice <AvrgAcqstnPric>

*Presence:* [0..1]

*Definition:* Average cost per share of the security, including all fees.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.18.16.9 TotalBookValue <TtIBookVal>**

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtIBookVal>** contains the following elements (see ["DateAndAmount2"](#) on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

**65.1.18.16.10 LatestValuation <LatstValtn>**

*Presence:* [0..1]

*Definition:* Date and market value of the asset.

**LatestValuation <LatstValtn>** contains the following elements (see ["DateAndAmount2"](#) on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

**65.1.18.16.11 TransfereeAccount <TrfeeAcct>**

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)



**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.16.12 Transferor <Trfr>

*Presence:* [0..\*]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.16.13 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.18.16.14 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1565
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1566
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1566
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	1566
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	1566
	AdditionalInformation <AddtlInf>	[0..*]	±		1566

#### 65.1.18.16.15 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1145
{Or	Date <Dt>	[1..1]	Date		1145
Or}	Period <Prd>	[1..1]	Text		1145
	AdditionalInformation <AddtlInf>	[0..*]	±		1145

**65.1.18.16.16 SettlementPartiesDetails <SttlmPtiesDtls>**

*Presence:* [0..\*]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2340
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2341
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2341
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2341
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2342
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2343

**65.1.18.16.17 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.18.17 FinancialInstrument83**

*Definition:* Identification of a security or other asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1249
	Instrument <Instrm>	[1..1]			1249
{Or	Security <Scty>	[1..1]	±	C26	1250
Or	CashAsset <CshAsst>	[1..1]	±	C24	1250
Or}	OtherAsset <OthrAsst>	[1..1]	±		1250
	Quantity <Qty>	[0..1]	±		1251
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		1251
	OriginalPercentageInstructed <OrgnlPctgInstd>	[0..1]	Rate		1251
	TransferType <TrfTp>	[1..1]	±	C40	1252
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		1252
	NotAvailable <NotAvlbl>	[0..1]	Indicator		1252
	Conversion <Convs>	[0..1]	±		1252
	UnitsDetails <UnitsDtls>	[0..*]	±		1253
	ClientReference <ClntRef>	[0..1]	±		1254
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1254
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1254
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C2, C10	1254
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	1255
	TotalBookValue <TtlBookVal>	[0..1]	±		1255
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	1255
	LatestValuation <LatstValtn>	[0..1]	±		1256
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1256
	Transferor <Trfr>	[0..1]	±		1256
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1257
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1257
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		1257
	EffectiveTransferDate <FctvTrfDt>	[0..1]	±		1257
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		1258
	PaymentDetails <PmtDtls>	[0..1]	±		1258
	CrystallisationDetails <CrstlStnDtls>	[0..*]	±		1260
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1261

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1261
	AdditionalInformation <AddtlInf>	[0..*]	±		1262

### Constraints

- **AssetQuantity1Guideline**

If Instrument/Security is present, then Quantity/Unit or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present, then Quantity/CashAmount must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **EffectiveDatesGuideline**

When the portfolio transfer confirmation is used to confirm the intent to transfer, effective transfer date and effective settlement date are not applicable.

### 65.1.18.17.1 Lineldentification <Lineld>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2536

### 65.1.18.17.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C26	1250
Or	CashAsset <CshAsst>	[1..1]	±	C24	1250
Or}	OtherAsset <OthrAsst>	[1..1]	±		1250

**65.1.18.17.2.1 Security <Scty>***Presence:* [1..1]*Definition:* Identification of the security.*Impacted by:* [C26 "IdentificationGuideline"](#)**Security <Scty>** contains the following elements (see ["FinancialInstrumentIdentification2"](#) on page 1316 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1316
	Name <Nm>	[0..1]	Text		1317
	ShortName <ShrtNm>	[0..1]	Text		1317
	ClassificationType <ClssfctnTp>	[0..1]	±		1317

**Constraints**

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**65.1.18.17.2.2 CashAsset <CshAsst>***Presence:* [1..1]*Definition:* Identification of the cash asset.*Impacted by:* [C24 "HoldingTransferCurrencyGuideline"](#)**CashAsset <CshAsst>** contains the following elements (see ["CashAsset3"](#) on page 1314 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1314
{Or	Code <Cd>	[1..1]	CodeSet		1315
Or}	Proprietary <Prtry>	[1..1]	±		1315
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1315
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1315
	AdditionalInformation <AddtlInf>	[0..1]	±		1316

**Constraints**

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**65.1.18.17.2.3 OtherAsset <OthrAsst>***Presence:* [1..1]*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1312 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1312
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313
	Identification <Id>	[1..1]	Text		1313
	Name <Nm>	[0..1]	Text		1313
	Description <Desc>	[0..1]	Text		1314
	OtherIdentification <OthrId>	[0..5]	Text		1314
	AdditionalInformation <AddtlInf>	[0..*]	±		1314

#### 65.1.18.17.3 Quantity <Qty>

*Presence:* [0..1]

*Definition:* Quantity of asset transferred or to be transferred.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2126
	PercentageRate <PctgRate>	[0..1]	Rate		2127
	FaceAmount <FaceAmt>	[0..1]	Amount		2127
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2127
	CashAmount <CshAmt>	[0..1]	Amount	C2	2127
	OtherAsset <OthrAsst>	[0..1]	Text		2127

#### 65.1.18.17.4 PartialInstructedQuantity <PrtlInstdQty>

*Presence:* [0..1]

*Definition:* Indicates that the quantity of asset to be transferred is a partially instructed quantity.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.17.5 OriginalPercentageInstructed <OrgnlPctgInstd>

*Presence:* [0..1]

*Definition:* Percentage rate of assets to be transferred or transferred, as originally instructed.

*Datatype:* "PercentageRate" on page 2534

**65.1.18.17.6 TransferType <TrfTp>**

*Presence:* [1..1]

*Definition:* Specifies how the financial instrument is transferred.

*Impacted by:* C40 "SECUGuideline"

**TransferType <TrfTp>** contains one of the following elements (see "TransferType2Choice" on page 2350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2351
Or}	Proprietary <Prtry>	[1..1]	±		2351

**Constraints**

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

**65.1.18.17.7 AdditionalAsset <AddtlAsst>**

*Presence:* [0..1]

*Definition:* Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.17.8 NotAvailable <NotAvlbl>**

*Presence:* [0..1]

*Definition:* Indicates the asset is no longer available at the transferor party (ceding party).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.17.9 Conversion <Convs>**

*Presence:* [0..1]

*Definition:* Security is to be converted into another security before transfer.



**Conversion <Convs>** contains the following elements (see "Conversion1" on page 1567 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1567
	Identification <Id>	[1..1]	±		1567
	Name <Nm>	[0..1]	Text		1568
	ShortName <ShrtNm>	[0..1]	Text		1568
	AdditionalInformation <AddtlInf>	[0..*]	±		1568

#### 65.1.18.17.10 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1326
	OrderDate <OrdrDt>	[0..1]	Date		1326
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1326
	CertificateNumber <CertNb>	[0..*]	Text		1327
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1327
	Reference <Ref>	[0..1]	Text		1327
	PriceDetails <PricDtls>	[0..1]	±		1327
	TransactionOverhead <TxOvrhd>	[0..1]		C31, C47	1328
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330
	OtherAmount <OthrAmt>	[0..*]			1331
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332

**65.1.18.17.11 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.18.17.12 CounterpartyReference <CtrPtyRef>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.18.17.13 BusinessFlowType <BizFlowTp>**

*Presence:* [0..1]

*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

*Datatype:* "[BusinessFlowType1Code](#)" on page 2420

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**65.1.18.17.14 AverageAcquisitionPrice <AvrgAcqstnPric>**

*Presence:* [0..1]

*Definition:* Average cost per share of the security, including all fees.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.18.17.15 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.1.18.17.16 TotalBookValue <TtlBookVal>

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

### 65.1.18.17.17 OriginalCost <OrgnlCost>

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.17.18 LatestValuation <LatstValtn>

*Presence:* [0..1]

*Definition:* Date and market value of the asset.

**LatestValuation <LatstValtn>** contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.17.19 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..1]	±		1403
	AccountIdentification <AcctId>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.17.20 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..1]	±		1403
	AccountIdentification <AcctId>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.17.21 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.18.17.22 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 65.1.18.17.23 RequestedSettlementDate <ReqdSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 65.1.18.17.24 EffectiveTransferDate <FctvTrfDt>

*Presence:* [0..1]

*Definition:* Date and time at which the transfer was executed.

**EffectiveTransferDate <FctvTrfDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.18.17.25 EffectiveSettlementDate <FctvSttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.18.17.26 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 1960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1962
	CreditTransferDetails <CdtTrfDtls>	[0..1]			1962
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

#### 65.1.18.17.27 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.



**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1565
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1566
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1566
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	1566
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	1566
	AdditionalInformation <AddtlInf>	[0..*]	±		1566

#### 65.1.18.17.28 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1145
{Or	Date <Dt>	[1..1]	Date		1145
Or}	Period <Prd>	[1..1]	Text		1145
	AdditionalInformation <AddtlInf>	[0..*]	±		1145

#### 65.1.18.17.29 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2340
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2341
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2341
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2341
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2342
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2343

#### 65.1.18.17.30 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.18 FinancialInstrument86

*Definition:* Identification of a security or other asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LineIdentification <LineId>	[0..1]	Text		1264
	Instrument <Instrm>	[1..1]			1264
{Or	Security <Scty>	[1..1]	±	C26	1265
Or	CashAsset <CshAsst>	[1..1]	±	C24	1265
Or}	OtherAsset <OthrAsst>	[1..1]	±		1266
	Quantity <Qty>	[0..1]	±		1266
	PartialInstructedQuantity <PrtlInstdQty>	[0..1]	Indicator		1266
	TransferType <TrfTp>	[1..1]	±	C40	1267
	AdditionalAsset <AddtlAsst>	[0..1]	Indicator		1267
	NotAvailable <NotAvlbl>	[0..1]	Indicator		1267
	Conversion <Convs>	[0..1]	±		1267
	UnitsDetails <UnitsDtls>	[0..*]	±		1268
	ClientReference <ClntRef>	[0..1]	±		1269
	CounterpartyReference <CtrPtyRef>	[0..1]	±		1269
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		1269
	AverageAcquisitionPrice <AvrgAcqstnPric>	[0..1]	Amount	C3, C12	1269
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	1270
	TotalBookValue <TtlBookVal>	[0..1]	±		1270
	TransfereeAccount <TrfeeAcct>	[0..1]	±		1270
	Transferor <Trfr>	[0..1]	±		1271
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1271
	RequestedTransferDate <ReqdTrfDt>	[0..1]	Date		1272
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		1272
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		1272
	PaymentDetails <PmtDtls>	[0..1]	±		1272
	CrystallisationDetails <CrstlStnDtls>	[0..*]	±		1274
	TaxValuationPoint <TaxValtnPt>	[0..1]	±		1275
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1275
	AdditionalInformation <AddtlInf>	[0..*]	±		1276

## Constraints

- **AssetLiquidatedCurrencyGuideline**

When a security is to be liquidated and transferred as cash (TransferType is CASH), then the currency of the resulting cash is specified in TransferCurrency.

- **AssetQuantity1Guideline**

If Instrument/Security is present and Quantity is present, then Quantity/Unit or Quantity/PercentageRate or Quantity/FaceAmount or Quantity/AmortisedValue must be present.

- **AssetQuantity2Guideline**

If Instrument/CashAsset is present and Quantity is present, then Quantity/CashAmount or Quantity/Percentage must be present.

- **Conversion1Rule**

If TransferType/Code/CONV (Conversion) is present, then Conversion must be present.

On Condition

/TransferType/Code is equal to value 'Conversion'

Following Must be True

/Conversion Must be present

- **Conversion2Rule**

If TransferType/Code/CONV (Conversion) is not present, then Conversion is not allowed.

On Condition

/TransferType/Code is different from value 'Conversion'

Following Must be True

/Conversion Must be absent

- **PartialInstructedQuantityRule**

If the value of PartialInstructedQuantity is 'true' or '1' (Yes), then Quantity must be present.

If the value of PartialInstructedQuantity is 'false' or '0' (No), then Quantity maybe present.

On Condition

/PartialInstructedQuantity is equal to value 'true'

Or /PartialInstructedQuantity is equal to value '1'

Following Must be True

/Quantity Must be present

### 65.1.18.18.1 Lineldentification <Lineld>

*Presence:* [0..1]

*Definition:* Identification of the line of holding in the portfolio.

*Datatype:* "Max35Text" on page 2536

### 65.1.18.18.2 Instrument <Instrm>

*Presence:* [1..1]

*Definition:* Identification of the asset.

**Instrument <Instrm>** contains one of the following **FinancialInstrument63Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Security <Scty>	[1..1]	±	C26	1265
Or	CashAsset <CshAsst>	[1..1]	±	C24	1265
Or}	OtherAsset <OthrAsst>	[1..1]	±		1266

#### 65.1.18.18.2.1 Security <Scty>

*Presence:* [1..1]

*Definition:* Identification of the security.

*Impacted by:* [C26 "IdentificationGuideline"](#)

**Security <Scty>** contains the following elements (see ["FinancialInstrumentIdentification2"](#) on page 1316 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1316
	Name <Nm>	[0..1]	Text		1317
	ShortName <ShrtNm>	[0..1]	Text		1317
	ClassificationType <ClssfctnTp>	[0..1]	±		1317

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.18.18.2.2 CashAsset <CshAsst>

*Presence:* [1..1]

*Definition:* Identification of the cash asset.

*Impacted by:* [C24 "HoldingTransferCurrencyGuideline"](#)

**CashAsset <CshAsst>** contains the following elements (see ["CashAsset3"](#) on page 1314 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1314
{Or	Code <Cd>	[1..1]	CodeSet		1315
Or}	Proprietary <Prtry>	[1..1]	±		1315
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1315
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1315
	AdditionalInformation <AddtlInf>	[0..1]	±		1316

**Constraints**

- **HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**65.1.18.18.2.3 OtherAsset <OthrAsst>**

*Presence:* [1..1]

*Definition:* Identification of another kind of asset in the holding that is not a security or cash.

**OtherAsset <OthrAsst>** contains the following elements (see "OtherAsset2" on page 1312 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1312
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313
	Identification <Id>	[1..1]	Text		1313
	Name <Nm>	[0..1]	Text		1313
	Description <Desc>	[0..1]	Text		1314
	OtherIdentification <OthrlId>	[0..5]	Text		1314
	AdditionalInformation <AddtlInf>	[0..*]	±		1314

**65.1.18.18.3 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Quantity of asset to be transferred.

**Quantity <Qty>** contains the following elements (see "Quantity47" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2126
	PercentageRate <PctgRate>	[0..1]	Rate		2127
	FaceAmount <FaceAmt>	[0..1]	Amount		2127
	AmortisedValue <AmtsdVal>	[0..1]	Amount		2127
	CashAmount <CshAmt>	[0..1]	Amount	C2	2127
	OtherAsset <OthrAsst>	[0..1]	Text		2127

**65.1.18.18.4 PartialInstructedQuantity <PrtlInstQty>**

*Presence:* [0..1]

*Definition:* Indicates that the quantity of asset to be transferred is a partially instructed quantity.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.18.5 TransferType <TrfTp>

*Presence:* [1..1]

*Definition:* Specifies how the financial instrument is transferred.

*Impacted by:* [C40 "SECUGuideline"](#)

**TransferType <TrfTp>** contains one of the following elements (see ["TransferType2Choice"](#) on page 2350 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2351
Or}	Proprietary <Prtry>	[1..1]	±		2351

#### Constraints

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### 65.1.18.18.6 AdditionalAsset <AddtlAsst>

*Presence:* [0..1]

*Definition:* Indicates the asset is a new asset, not previously identified by the transferor party (ceding party) in the account holding discovery process.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.18.7 NotAvailable <NotAvlbl>

*Presence:* [0..1]

*Definition:* Indicates the asset is no longer available at the transferor party (ceding party).

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.18.18.8 Conversion <Convs>

*Presence:* [0..1]

*Definition:* Security is to be converted into another security before transfer.

**Conversion <Convs>** contains the following elements (see "Conversion1" on page 1567 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1567
	Identification <Id>	[1..1]	±		1567
	Name <Nm>	[0..1]	Text		1568
	ShortName <ShrtNm>	[0..1]	Text		1568
	AdditionalInformation <AddtlInf>	[0..*]	±		1568

#### 65.1.18.18.9 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit11" on page 1325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1326
	OrderDate <OrdrDt>	[0..1]	Date		1326
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1326
	CertificateNumber <CertNb>	[0..*]	Text		1327
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1327
	Reference <Ref>	[0..1]	Text		1327
	PriceDetails <PricDtls>	[0..1]	±		1327
	TransactionOverhead <TxOvrhd>	[0..1]		C31, C47	1328
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330
	OtherAmount <OthrAmt>	[0..*]			1331
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332



**65.1.18.18.10 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.18.18.11 CounterpartyReference <CtrPtyRef>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.18.18.12 BusinessFlowType <BizFlowTp>**

*Presence:* [0..1]

*Definition:* Business process in which the actors are involved. This will facilitate the right business process to be triggered, according to the market business model, which may require matching instructions (double leg process) or not (single leg process).

*Datatype:* "[BusinessFlowType1Code](#)" on page 2420

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**65.1.18.18.13 AverageAcquisitionPrice <AvrgAcqstnPric>**

*Presence:* [0..1]

*Definition:* Average cost per share of the security, including all fees.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.18.18.14 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.18.15 TotalBookValue <TtlBookVal>

*Presence:* [0..1]

*Definition:* Net asset on the balance sheet, the total portfolio value minus or plus the unrealised gain or loss.

**TotalBookValue <TtlBookVal>** contains the following elements (see "DateAndAmount2" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C3, C12	1011

#### 65.1.18.18.16 TransfereeAccount <TrfeeAcct>

*Presence:* [0..1]

*Definition:* Account held in the name of the party that is not the name of the beneficial owner of the shares.

(Party and account into which the transferee receives the financial instrument from the transferor.)

**TransfereeAccount <TrfeeAcct>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.18.17 Transferor <Trfr>

*Presence:* [0..1]

*Definition:* Party and account from which the transferor delivers the financial instrument to the transferee.

**Transferor <Trfr>** contains the following elements (see "Account28" on page 1403 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <Acctld>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

#### 65.1.18.18.18 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.18.18.19 RequestedTransferDate <ReqdTrfDt>

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer.

*Datatype:* "ISODate" on page 2521

#### 65.1.18.18.20 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 65.1.18.18.21 RequestedSettlementDate <ReqdSttlmDt>

*Presence:* [0..1]

*Definition:* Date at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

#### 65.1.18.18.22 PaymentDetails <PmtDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**PaymentDetails <PmtDtls>** contains the following elements (see "PaymentInstrument14" on page 1960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1962
	CreditTransferDetails <CdtTrfDtls>	[0..1]			1962
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

#### 65.1.18.18.23 CrystallisationDetails <CrstllstnDtls>

*Presence:* [0..\*]

*Definition:* Number of units that have been received (crystallised) or not yet received (uncrystallised) from the fund. This is typically relevant to a pension fund.

**CrystallisationDetails <CrstllstnDtls>** contains the following elements (see "Crystallisation2" on page 1565 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <TrchId>	[1..1]	Text		1565
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1566
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1566
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	1566
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	1566
	AdditionalInformation <AddtlInf>	[0..*]	±		1566

#### 65.1.18.18.24 TaxValuationPoint <TaxValtnPt>

*Presence:* [0..1]

*Definition:* Date or tax quarter used for the calculation of tax on the asset.

**TaxValuationPoint <TaxValtnPt>** contains the following elements (see "Tax36" on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateOrPeriod <DtOrPrd>	[1..1]			1145
{Or	Date <Dt>	[1..1]	Date		1145
Or}	Period <Prd>	[1..1]	Text		1145
	AdditionalInformation <AddtlInf>	[0..*]	±		1145

#### 65.1.18.18.25 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters17" on page 2340 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2340
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2341
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2341
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2341
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2342
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2343

#### 65.1.18.18.26 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the financial instrument.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.18.19 FundPortfolio6Choice

*Definition:* Choice of different types of portfolio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TaxEfficientProduct <TaxEffcntPdct>	[1..1]	±		1276
Or	GeneralInvestment <GnlInvstmt>	[1..1]	±		1277
Or}	Pension <Pnsn>	[1..1]	±		1277

#### 65.1.18.19.1 TaxEfficientProduct <TaxEffcntPdct>

*Presence:* [1..1]

*Definition:* Portfolio is a government scheme to encourage investment in securities based unit and investment trusts, offering certain tax benefits. These are not investments in their own right but are tax



exempt 'wrappers' in which equities, bonds and funds can be held to shelter them from various types of tax.

In the UK, a typical tax wrapper product is known as an 'ISA' (Individual Savings Account).

**TaxEfficientProduct <TaxEffcntPdct>** contains the following elements (see "TaxEfficientProduct6" on page 1219 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxEfficientProductType <TaxEffcntPdctTp>	[1..1]	±		1220
	CurrentYear <CurYr>	[0..1]	Indicator		1220
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1220
	PreviousYears <PrvsYrs>	[0..1]		C43	1221
	PreviousYears <PrvsYrs>	[1..1]			1221
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1221
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1221
	CashComponentIndicator <CshCmpntInd>	[0..1]	Indicator		1222
	CurrentYearSubscriptionDetails <CurYrSbcptDtls>	[0..1]		C46	1222
	DateOfFirstSubscription <DtOfFrstSbcpt>	[1..1]	Date		1222
	EquityComponent <EqtyCmpnt>	[0..1]	Amount	C2	1222
	CashComponent <CshCmpnt>	[0..1]	Amount	C2	1223
	TotalAmountYearToDate <TtlAmtYrToDt>	[1..1]	Amount	C2	1223
	AdditionalInformation <AddtlInf>	[0..*]	±		1223

#### 65.1.18.19.2 GeneralInvestment <GnlInvstmt>

*Presence:* [1..1]

*Definition:* Portfolio is a general investment.

**GeneralInvestment <GnlInvstmt>** contains the following elements (see "GeneralInvestment2" on page 1217 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]	±		1217
	OwnershipType <OwnrshTp>	[0..1]	CodeSet		1217
	CurrentInvestmentAmount <CurInvstmtAmt>	[0..1]	Amount	C2	1218
	EstimatedValue <EstmtdVal>	[0..1]	±		1219
	AdditionalInformation <AddtlInf>	[0..*]	±		1219

#### 65.1.18.19.3 Pension <Pnsn>

*Presence:* [1..1]

*Definition:* Portfolio is a pension policy, plan or scheme.

**Pension <Pnsn>** contains the following elements (see "Pension4" on page 1189 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1189
	Identifier <Idr>	[1..1]	Text		1189
	SubIdentifier <SubIdr>	[0..1]	Text		1190
	AdditionalInformation <AddtlInf>	[0..1]	±		1190
	Type <Tp>	[0..1]	±		1190
	TransferScope <TrfScp>	[0..1]	±		1190
	TaxReference <TaxRef>	[0..*]	±		1190
	DrawdownTrancheIdentification <DrwdwnTrchld>	[0..1]	Text		1191
	AdditionalInformation <AddtlInf>	[0..*]	±		1191

#### 65.1.18.20 FinancialInstrument88

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1278
	Name <Nm>	[0..1]	Text		1279
	ShortName <ShrtNm>	[0..1]	Text		1279
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1279
	ClassType <ClsTp>	[0..1]	Text		1280
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1280
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1280
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1280

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

##### 65.1.18.20.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.18.20.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.18.20.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.20.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument.

*Datatype:* "Max35Text" on page 2536

### 65.1.18.20.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

### 65.1.18.20.6 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

### 65.1.18.20.7 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 65.1.18.20.8 DematerialisedIndicator <Dmtrlslnd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.18.21 FinancialInstrument87

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldgg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.18.21.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.18.21.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.18.21.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.21.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

**65.1.18.21.5 ClassType <ClsTp>**

*Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

**65.1.18.21.6 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.18.21.7 DistributionPolicy <DstrbtnPlcy>**

*Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**65.1.18.21.8 ProductGroup <PdctGrp>**

*Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2535

**65.1.18.21.9 BlockedHoldingDetails <BlckdHldgDtls>**

*Presence:* [0..1]

*Definition:* When an account at fund or security level is blocked, this specifies details on how the holding is blocked.

*Impacted by:* C18 "HoldingCertificateNumberRule", C26 "PartialHoldingUnits1Rule", C27 "PartialHoldingUnits2Rule", C28 "PartialHoldingUnits3Rule"

**BlockedHoldingDetails <BlckdHldgDtls>** contains the following **BlockedHoldingDetails2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285

#### Constraints

- **HoldingCertificateNumberRule**

If BlockHolding is CERT (Certificate) then HoldingCertificateNumber is mandatory.

On Condition

/BlockedHolding is equal to value 'Certificate'

Following Must be True

/HoldingCertificateNumber Must be present

- **PartialHoldingUnits1Rule**

If BlockHolding is NPRH (NonPartialHolding) then PartialHoldingUnits must not be present.

On Condition

/BlockedHolding is equal to value 'NonPartialHolding'

Following Must be True

/PartialHoldingUnits Must be absent

- **PartialHoldingUnits2Rule**

If BlockHolding is PRTH (PartialHolding) then PartialHoldingUnits is mandatory.

On Condition

/BlockedHolding is equal to value 'PartialHolding'

Following Must be True

/PartialHoldingUnits Must be present

- **PartialHoldingUnits3Rule**

If BlockHolding is CERT (Certificate) then PartialHoldingUnits must not be present.

On Condition

/BlockedHolding is equal to value 'Certificate'

Following Must be True

/PartialHoldingUnits Must be absent

#### 65.1.18.21.9.1 BlockedHolding <BlckdHldg>

*Presence:* [1..1]

*Definition:* Specifies how the blocked account holding is defined.

*Datatype:* "Holding1Code" on page 2447

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.
PRTH	PartialHolding	Partial holding.

#### 65.1.18.21.9.2 PartialHoldingUnits <PrtlHldgUnits>

*Presence:* [0..1]



*Definition:* When an account is blocked at the level of fund or security, partially, this is the number of units blocked.

*Datatype:* ["DecimalNumber" on page 2533](#)

#### 65.1.18.21.9.3 HoldingCertificateNumber <HldgCertNb>

*Presence:* [0..1]

*Definition:* When an account is blocked at the level of fund or security, this specifies the certificate number of the blocked units.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.18.21.10 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* ["Eligible1Code" on page 2436](#)

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 65.1.18.21.11 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* ["Collateral1Code" on page 2426](#)

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 65.1.18.21.12 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see ["ThirdPartyRights2" on page 1483](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1483
	DateTime <DtTm>	[0..1]	DateTime		1484
	Holder <Hldr>	[0..1]	±		1484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1484
	Amount <Amt>	[0..1]	Amount	C2, C10	1484
	Description <Desc>	[0..1]	Text		1484

**65.1.18.21.13 FundOwnership <FndOwnrsh>***Presence:* [0..1]*Definition:* Specifies if all the shares are owned exclusively by the fund company.*Datatype:* "FundOwnership1Code" on page 2445

CodeName	Name	Definition
YALL	AllOwned	All shares owned.
NALL	NotAllOwned	Not all shares owned.

**65.1.18.21.14 FundIntention <FndIntntn>***Presence:* [0..1]*Definition:* Specifies if the fund is intended for qualified investors.*Datatype:* "FundIntention1Code" on page 2444

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

**65.1.18.21.15 OperationalStatus <OprlSts>***Presence:* [0..1]*Definition:* Operational status of the fund.*Datatype:* "OperationalStatus1Code" on page 2468

CodeName	Name	Definition
ENAB	Enabled	Enabled.
SPEC	SpecialCircumstances	Special circumstances.

**65.1.18.22 QuotationType1Choice***Definition:* Choice of formats for a type of quotation

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1286
Or}	Proprietary <Prtry>	[1..1]	±		1287

**65.1.18.22.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of quotation expressed as a code.*Datatype:* "QuotationType1Code" on page 2482

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.

CodeName	Name	Definition
PRCT	Percentage	Quotation is expressed as percentage.

#### 65.1.18.22.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of quotation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.23 GovernanceProcess1Choice

*Definition:* Choice of formats for a type of governance process.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1287
Or}	Proprietary <Prtry>	[1..1]	±		1287

##### 65.1.18.23.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of governance process expressed as a code.

*Datatype:* "[GovernanceProcessType1Code](#)" on page 2447

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

##### 65.1.18.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of governance process expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.18.24 AdditionalInformation15

*Definition:* Additional information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

##### 65.1.18.24.1 InformationType <InfTp>

*Presence:* [1..1]

*Definition:* Type of additional information.

**InformationType <InfTp>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.18.24.2 InformationValue <InfVal>

*Presence:* [1..1]

*Definition:* Value of the additional information.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.18.25 FinancialInstrument71

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±	C3, C4, C5, C6, C7	1289
	ShortName <ShrtNm>	[0..1]	Text		1290
	Name <Nm>	[0..1]	Text		1290
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1290
	ClassType <ClsTp>	[0..1]	Text		1290
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1290
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1291
	ProductGroup <PdctGrp>	[0..1]	Text		1291

### 65.1.18.25.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security, typically by an ISIN.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**Identification <Id>** contains the following elements (see "SecurityIdentification19" on page 1297 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1298
	OtherIdentification <OthrlId>	[0..*]			1298
	Identification <Id>	[1..1]	Text		1299
	Suffix <Sfx>	[0..1]	Text		1299
	Type <Tp>	[1..1]	±		1299
	Description <Desc>	[0..1]	Text		1299

#### 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
```

#### 65.1.18.25.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.25.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.18.25.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.25.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example,, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.25.6 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Specifies the form, that is, ownership, of the security.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.18.25.7 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

#### 65.1.18.25.8 ProductGroup <PdctGrp>

*Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2535

#### 65.1.18.26 FinancialInstrument8

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1292
	Name <Nm>	[0..1]	Text		1292
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1292
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1293
	ClassType <ClsTp>	[0..1]	Text		1293
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1293
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1293
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1294

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**65.1.18.26.1 Identification <Id>**

*Presence:* [1..10]

*Definition:* Identification of a security by an ISIN.

**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

**65.1.18.26.2 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2536

**65.1.18.26.3 SupplementaryIdentification <SplmtryId>**

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "[Max35Text](#)" on page 2536



#### 65.1.18.26.4 DenominationCurrency <DnmtnCcy>

*Presence:* [0..1]

*Definition:* Currency in which a security is issued or redenominated.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.18.26.5 ClassType <ClsTp>

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.26.6 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.18.26.7 DistributionPolicy <DstrbtnPlcy>

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**65.1.18.26.8 DualFundIndicator <DualFndInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.18.27 FinancialInstrument57**

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, for example, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**65.1.18.27.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.18.27.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.18.27.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.27.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

**65.1.18.27.5 ClassType <ClsTp>***Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536**65.1.18.27.6 SecuritiesForm <SctiesForm>***Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.18.27.7 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]

*Definition:* Income policy relating to a class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**65.1.18.27.8 ProductGroup <PdctGrp>***Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2535**65.1.18.27.9 SeriesIdentification <Srsld>***Presence:* [0..1]

*Definition:* Choice of formats for the identification of a series.

*Impacted by:* C30 "SeriesElementRule"

**SeriesIdentification <SrsId>** contains the following **Series1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **SeriesElementRule**

Either SeriesDate or SeriesName must be present. Both may be present.

#### 65.1.18.27.9.1 SeriesDate <SrsDt>

*Presence:* [0..1]

*Definition:* Issue date of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription order, if known.

**SeriesDate <SrsDt>** contains one of the following elements (see "[DateFormat42Choice](#)" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	YearMonth <YrMnth>	[1..1]	YearMonth		1146
Or}	YearMonthDay <YrMnthDay>	[1..1]	Date		1147

#### 65.1.18.27.9.2 SeriesName <SrsNm>

*Presence:* [0..1]

*Definition:* Name of the fund series. It is typically applicable to a redemption order, subscription order confirmation or redemption order confirmation, but may be specified in the subscription, if known.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.18.28 SecurityIdentification19

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		1298
	OtherIdentification <OthrId>	[0..*]			1298
	Identification <Id>	[1..1]	Text		1299
	Suffix <Sfx>	[0..1]	Text		1299
	Type <Tp>	[1..1]	±		1299
	Description <Desc>	[0..1]	Text		1299

## 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
```

### 65.1.18.28.1 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 2528

### 65.1.18.28.2 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		1299
	Suffix <Sfx>	[0..1]	Text		1299
	Type <Tp>	[1..1]	±		1299

#### 65.1.18.28.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 2536

#### 65.1.18.28.2.2 Suffix <Sfx>

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* "Max16Text" on page 2535

#### 65.1.18.28.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 1361 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1361
Or}	Proprietary <Prtry>	[1..1]	Text		1362

#### 65.1.18.28.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 2535

#### 65.1.18.29 FinancialInstrument9

*Definition:* Security that is a sub-set of an investment fund, and is governed by the same investment fund policy, eg, dividend option or valuation currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.18.29.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security by an ISIN.



**Identification <Id>** contains one of the following elements (see "[SecurityIdentification3Choice](#)" on page 2137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryld>	[1..1]	±		2140

#### 65.1.18.29.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.18.29.3 SupplementaryIdentification <Splmtryld>

*Presence:* [0..1]

*Definition:* Additional information about a financial instrument to help identify the instrument.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.18.29.4 RequestedNAVCurrency <ReqdNAVCcy>

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* "[ActiveOrHistoricCurrencyCode](#)" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.18.29.5 ClassType <ClsTp>**

*Presence:* [0..1]

*Definition:* Features of units offered by a fund. For example, a unit may have a specific load structure, eg, front end or back end, an income policy, eg, pay out or accumulate, or a trailer policy, eg, with or without. Fund classes are typically denoted by a single character, eg, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536

**65.1.18.29.6 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, ie, ownership, of the security, eg, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.18.29.7 DistributionPolicy <DstrbtnPlcy>**

*Presence:* [0..1]

*Definition:* Income policy relating to a class type, ie, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**65.1.18.29.8 DualFundIndicator <DualFndInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 65.1.19 Financial Instrument Identification

### 65.1.19.1 SecurityIdentification25Choice

*Definition:* Choice of formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.19.1.1 ISIN <ISIN>

*Presence:* [1..1]

*Definition:* International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

*Datatype:* "ISINOct2015Identifier" on page 2528

#### 65.1.19.1.2 SEDOL <SEDOL>

*Presence:* [1..1]

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Datatype:* "SEDOLIdentifier" on page 2530

#### **65.1.19.1.3 CUSIP <CUSIP>**

*Presence:* [1..1]

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

*Datatype:* "CUSIPIdentifier" on page 2525

#### **65.1.19.1.4 RIC <RIC>**

*Presence:* [1..1]

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

*Datatype:* "RICIdentifier" on page 2530

#### **65.1.19.1.5 TickerSymbol <TckrSymb>**

*Presence:* [1..1]

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

*Datatype:* "TickerIdentifier" on page 2532

#### **65.1.19.1.6 Bloomberg <Blmbrg>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Bloomberg organisation.

*Datatype:* "Bloomberg2Identifier" on page 2524

#### **65.1.19.1.7 CTA <CTA>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Datatype:* "ConsolidatedTapeAssociationIdentifier" on page 2525

#### **65.1.19.1.8 QUICK <QUICK>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Datatype:* "QUICKIdentifier" on page 2530

#### **65.1.19.1.9 Wertpapier <Wrtppr>**

*Presence:* [1..1]

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Datatype:* "WertpapierIdentifier" on page 2532

#### 65.1.19.1.10 Dutch <Dtch>

*Presence:* [1..1]

*Definition:* Identifier for Dutch securities.

*Datatype:* "DutchIdentifier" on page 2525

#### 65.1.19.1.11 Valoren <Vlrn>

*Presence:* [1..1]

*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

*Datatype:* "ValorenIdentifier" on page 2532

#### 65.1.19.1.12 Sicovam <SCVM>

*Presence:* [1..1]

*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilières in France. The Sicovam is composed of 5-digits.

*Datatype:* "SicovamIdentifier" on page 2530

#### 65.1.19.1.13 Belgian <Belgn>

*Presence:* [1..1]

*Definition:* Identifier for Belgian securities.

*Datatype:* "BelgianIdentifier" on page 2523

#### 65.1.19.1.14 Common <Cmon>

*Presence:* [1..1]

*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

*Datatype:* "EuroclearClearstreamIdentifier" on page 2526

#### 65.1.19.1.15 OtherProprietaryIdentification <OthrPrtryId>

*Presence:* [1..1]

*Definition:* Proprietary identification of the security assigned by an institution or organisation.

**OtherProprietaryIdentification <OthrPrtryId>** contains the following **AlternateSecurityIdentification7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

**65.1.19.1.15.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier of a security.*Datatype:* "Max35Text" on page 2536**65.1.19.1.15.2 IdentificationSource <IdSrc>***Presence:* [1..1]*Definition:* Source of the identification, that is, domestic (national) or proprietary.**IdentificationSource <IdSrc>** contains one of the following elements (see "IdentificationSource1Choice" on page 1362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C11	1362
Or}	Proprietary <Prtry>	[1..1]	Text		1362

**65.1.19.2 CashAsset2***Definition:* Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1306
{Or	Code <Cd>	[1..1]	CodeSet		1306
Or}	Proprietary <Prtry>	[1..1]	±		1307
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1307
	AdditionalInformation <AddtlInf>	[0..1]	±		1307

**65.1.19.2.1 CashAssetType <CshAsstTp>***Presence:* [1..1]*Definition:* Type of cash asset.**CashAssetType <CshAsstTp>** contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1306
Or}	Proprietary <Prtry>	[1..1]	±		1307

**65.1.19.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of cash expressed as a code.*Datatype:* "CashAssetType1Code" on page 2423

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

#### 65.1.19.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.19.2.2 HoldingCurrency <HldgCcy>

*Presence:* [1..1]

*Definition:* Currency of the asset in the holding.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.19.2.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cash asset.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.19.3 FinancialInstrumentIdentification3

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1308
	Name <Nm>	[0..1]	Text		1309
	ShortName <ShrtNm>	[0..1]	Text		1309
	ClassificationType <ClssfctnTp>	[0..1]	±		1309
	RestrictedIndicator <RstrctdInd>	[0..1]	Indicator		1310
	AlternateSecurity <AltrnScty>	[0..*]		C21	1310
	Identification <Id>	[1..1]	±		1310
	Name <Nm>	[0..1]	Text		1311
	ShortName <ShrtNm>	[0..1]	Text		1311
	ClassificationType <ClssfctnTp>	[0..1]	±		1311
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1312

### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.19.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.



**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrrn>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.19.3.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.19.3.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.19.3.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "ClassificationType32Choice" on page 1687 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1687
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1687

#### 65.1.19.3.5 RestrictedIndicator <RstrctdInd>

*Presence:* [0..1]

*Definition:* Indicates whether the security is a restricted security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.19.3.6 AlternateSecurity <AltrnScty>

*Presence:* [0..\*]

*Definition:* Alternative security offered in place of a restricted security.

*Impacted by:* C21 "IdentificationGuideline"

**AlternateSecurity <AltrnScty>** contains the following **FinancialInstrumentIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1310
	Name <Nm>	[0..1]	Text		1311
	ShortName <ShrtNm>	[0..1]	Text		1311
	ClassificationType <ClssfctnTp>	[0..1]	±		1311
	AlternateSecurityType <AltrnSctyTp>	[0..1]	±		1312

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.19.3.6.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.19.3.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.19.3.6.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.19.3.6.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "[ClassificationType32Choice](#)" on page 1687 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1687
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1687

#### 65.1.19.3.6.5 AlternateSecurityType <AltrnSctyTp>

*Presence:* [0..1]

*Definition:* Type of security offered in place of a restricted security, for example, common.

**AlternateSecurityType <AltrnSctyTp>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.19.4 OtherAsset2

*Definition:* Identification of an asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherAssetType <OthrAsstTp>	[1..1]			1312
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313
	Identification <Id>	[1..1]	Text		1313
	Name <Nm>	[0..1]	Text		1313
	Description <Desc>	[0..1]	Text		1314
	OtherIdentification <OthrId>	[0..5]	Text		1314
	AdditionalInformation <AddtlInf>	[0..*]	±		1314

##### 65.1.19.4.1 OtherAssetType <OthrAsstTp>

*Presence:* [1..1]

*Definition:* Type of asset.

**OtherAssetType <OthrAsstTp>** contains one of the following **OtherAsset2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1313
Or}	Proprietary <Prtry>	[1..1]	±		1313

#### 65.1.19.4.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Other asset type specified as a code.

*Datatype:* "OtherAsset2Code" on page 2471

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

#### 65.1.19.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Other asset type specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.19.4.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Technical identification of the asset.

*Datatype:* "Max35Text" on page 2536

#### 65.1.19.4.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the asset.

*Datatype:* "Max35Text" on page 2536

**65.1.19.4.4 Description <Desc>***Presence:* [0..1]*Definition:* Description of the asset.*Datatype:* "Max35Text" on page 2536**65.1.19.4.5 OtherIdentification <Othrid>***Presence:* [0..5]*Definition:* Additional identification of the asset.*Datatype:* "Max35Text" on page 2536**65.1.19.4.6 AdditionalInformation <AddtlInf>***Presence:* [0..\*]*Definition:* Additional information about the other asset.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.19.5 CashAsset3***Definition:* Identification of a cash asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAssetType <CshAsstTp>	[1..1]			1314
{Or	Code <Cd>	[1..1]	CodeSet		1315
Or}	Proprietary <Prtry>	[1..1]	±		1315
	HoldingCurrency <HldgCcy>	[1..1]	CodeSet	C2	1315
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C2	1315
	AdditionalInformation <AddtlInf>	[0..1]	±		1316

**Constraints**

- HoldingTransferCurrencyGuideline**

When cash is transferred in a currency other than that of the cash, the currency should be specified in TransferCurrency.

**65.1.19.5.1 CashAssetType <CshAsstTp>***Presence:* [1..1]*Definition:* Type of cash asset.

**CashAssetType <CshAsstTp>** contains one of the following **CashAssetType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1315
Or}	Proprietary <Prtry>	[1..1]	±		1315

#### 65.1.19.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a code.

*Datatype:* "CashAssetType1Code" on page 2423

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

#### 65.1.19.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.19.5.2 HoldingCurrency <HldgCcy>

*Presence:* [1..1]

*Definition:* Currency of the asset in the holding.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.19.5.3 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency of the asset in another currency.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.19.5.4 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cash asset.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.19.6 FinancialInstrumentIdentification2

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1316
	Name <Nm>	[0..1]	Text		1317
	ShortName <ShrtNm>	[0..1]	Text		1317
	ClassificationType <ClssfctnTp>	[0..1]	±		1317

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

##### 65.1.19.6.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.



**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.19.6.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.19.6.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.19.6.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Type of security.

**ClassificationType <ClssfctnTp>** contains one of the following elements (see "ClassificationType32Choice" on page 1687 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1687
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1687

## 65.1.20 Financial Instrument Quantity

### 65.1.20.1 UnitsOrAmount1Choice

*Definition:* Choice between an amount or number of units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1318
Or}	Unit <Unit>	[1..1]	Quantity		1318

#### 65.1.20.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Currency and amount of the periodical payments.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.1.2 Unit <Unit>

*Presence:* [1..1]

*Definition:* Number of units to be subscribed or withdrawn.

*Datatype:* "DecimalNumber" on page 2533

### 65.1.20.2 Unit12

*Definition:* Information about units to transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1319
	OrderDate <OrdDt>	[0..1]	Date		1319
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1319
	CertificateNumber <CertNb>	[0..*]	Text		1320
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1320
	Reference <Ref>	[0..1]	Text		1320
	PriceDetails <PricDtls>	[0..1]	±		1320
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1321
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1321
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1321
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1322
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1322
	IndividualFee <IndvFee>	[0..*]	±	C6	1322
	IndividualTax <IndvTax>	[0..*]	±		1323
	OtherAmount <OthrAmt>	[0..*]			1324
	Type <Tp>	[1..1]			1324
{Or	Code <Cd>	[1..1]	CodeSet		1325
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1325
	Amount <Amt>	[1..1]	Amount	C2, C10	1325

#### 65.1.20.2.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Quantity of units.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.20.2.2 OrderDate <OrdDt>

*Presence:* [0..1]

*Definition:* Date the investor or its agent placed the original order.

*Datatype:* "ISODate" on page 2521

#### 65.1.20.2.3 AcquisitionDate <AcqstnDt>

*Presence:* [0..1]

*Definition:* Date the investor purchased the financial instrument.

*Datatype:* "ISODate" on page 2521

**65.1.20.2.4 CertificateNumber <CertNb>***Presence:* [0..\*]*Definition:* Certificate representing the security that is delivered.*Datatype:* "Max35Text" on page 2536**65.1.20.2.5 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.*Datatype:* "UKTaxGroupUnit1Code" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

**65.1.20.2.6 Reference <Ref>***Presence:* [0..1]*Definition:* Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.*Datatype:* "Max35Text" on page 2536**65.1.20.2.7 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Information related to the price. This may specify the price of original order confirmation.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice23" on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2080
	Value <Val>	[1..1]	±		2080
	PriceMethod <PricMtd>	[0..1]	CodeSet		2080
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2081
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2081
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2081
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2082
{Or	Code <Cd>	[1..1]	CodeSet		2082
Or}	Proprietary <Prtry>	[1..1]	±		2082

### 65.1.20.2.8 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees and taxes. This may specify the fees and taxes related to the original order confirmation.

*Impacted by:* C18 "NonStandardsSLAReferenceRule", C28 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1321
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1321
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1322
	CommercialAgreementReference <ComrcIAgrmtRef>	[0..1]	Text		1322
	IndividualFee <IndvFee>	[0..*]	±	C6	1322
	IndividualTax <IndvTax>	[0..*]	±		1323

#### Constraints

- **NonStandardsSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 65.1.20.2.8.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.2.8.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.2.8.3 TotalTaxes <TtlTxs>

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.2.8.4 CommercialAgreementReference <ComrcIAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 65.1.20.2.8.5 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1103
{Or	Code <Cd>	[1..1]	CodeSet		1103
Or}	Proprietary <Prtry>	[1..1]	±		1104
	Basis <Bsis>	[0..1]			1104
{Or	Code <Cd>	[1..1]	CodeSet		1105
Or}	Proprietary <Prtry>	[1..1]	±		1105
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1105
	StandardRate <StdRate>	[0..1]	Rate		1106
	DiscountDetails <DscntDtls>	[0..1]		C14	1106
	Amount <Amt>	[0..1]	Amount	C2, C10	1106
	Rate <Rate>	[0..1]	Rate		1107
	Basis <Bsis>	[0..1]			1107
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1108
	AppliedRate <ApldRate>	[0..1]	Rate		1108
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1108
	RecipientIdentification <RcptId>	[0..1]	±		1108
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1109

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

### 65.1.20.2.8.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2293 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2295
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2295
	AppliedRate <ApldRate>	[0..1]	Rate		2295
	Country <Ctry>	[0..1]	CodeSet	C11	2296
	RecipientIdentification <RcptId>	[0..1]	±		2296
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2296
	Basis <Bsis>	[0..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2297
Or}	Proprietary <Prtry>	[1..1]	±		2297
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2297

#### 65.1.20.2.9 OtherAmount <OthrAmt>

*Presence:* [0..\*]

*Definition:* Amounts not covered in price, fee or tax.

**OtherAmount <OthrAmt>** contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1324
{Or	Code <Cd>	[1..1]	CodeSet		1325
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1325
	Amount <Amt>	[1..1]	Amount	C2, C10	1325

#### 65.1.20.2.9.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of amount.

**Type <Tp>** contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1325
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1325



**65.1.20.2.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "OtherAmountType1Code" on page 2471

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

**65.1.20.2.9.1.2 ProprietaryCode <PrtryCd>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.**ProprietaryCode <PrtryCd>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.20.2.9.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.20.3 Unit11***Definition:* Information about units to transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1326
	OrderDate <OrdDt>	[0..1]	Date		1326
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1326
	CertificateNumber <CertNb>	[0..*]	Text		1327
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1327
	Reference <Ref>	[0..1]	Text		1327
	PriceDetails <PricDtls>	[0..1]	±		1327
	TransactionOverhead <TxOvrhd>	[0..1]		C31, C47	1328
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330
	OtherAmount <OthrAmt>	[0..*]			1331
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332

#### 65.1.20.3.1 UnitsNumber <UnitsNb>

*Presence:* [1..1]

*Definition:* Quantity of units.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.20.3.2 OrderDate <OrdDt>

*Presence:* [0..1]

*Definition:* Date the investor or its agent placed the original order.

*Datatype:* "ISODate" on page 2521

#### 65.1.20.3.3 AcquisitionDate <AcqstnDt>

*Presence:* [0..1]

*Definition:* Date the investor purchased the financial instrument.

*Datatype:* "ISODate" on page 2521

**65.1.20.3.4 CertificateNumber <CertNb>***Presence:* [0..\*]*Definition:* Certificate representing the security that is delivered.*Datatype:* "Max35Text" on page 2536**65.1.20.3.5 Group1Or2Units <Grp1Or2Units>***Presence:* [0..1]*Definition:* Tax group to which the purchased investment fund units belong. The investor indicates to the intermediary operating pooled nominees, which type of unit is to be sold.*Datatype:* "UKTaxGroupUnit1Code" on page 2521

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

**65.1.20.3.6 Reference <Ref>***Presence:* [0..1]*Definition:* Reference to the units number. This may be the order reference of the original acquisition, the identification of a lot, a client reference, a sub-position reference or other related reference.*Datatype:* "Max35Text" on page 2536**65.1.20.3.7 PriceDetails <PricDtls>***Presence:* [0..1]*Definition:* Information related to the price. This may specify the price of original order confirmation.**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice23" on page 2080 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2080
	Value <Val>	[1..1]	±		2080
	PriceMethod <PricMtd>	[0..1]	CodeSet		2080
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2081
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2081
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2081
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2082
{Or	Code <Cd>	[1..1]	CodeSet		2082
Or}	Proprietary <Prtry>	[1..1]	±		2082

### 65.1.20.3.8 TransactionOverhead <TxOvrhd>

*Presence:* [0..1]

*Definition:* Fees and taxes. This may specify the fees and taxes related to the original order confirmation.

*Impacted by:* C31 "NonStandardSLAReferenceRule", C47 "TransactionOverheadElementRule"

**TransactionOverhead <TxOvrhd>** contains the following **TotalFeesAndTaxes41** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1328
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1328
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1329
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1329
	IndividualFee <IndvFee>	[0..*]	±	C6	1329
	IndividualTax <IndvTax>	[0..*]	±		1330

#### Constraints

- **NonStandardSLAReferenceRule**

For each value of IndividualFee/Type, NonStandardSLAReference may only be present once.

- **TransactionOverheadElementRule**

One of the elements (TotalOverheadApplied, TotalFees, TotalTaxes, CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

#### 65.1.20.3.8.1 TotalOverheadApplied <TtlOvrhdApld>

*Presence:* [0..1]

*Definition:* Total amount of overhead applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.3.8.2 TotalFees <TtlFees>

*Presence:* [0..1]

*Definition:* Total amount of fees (charge/commissions) applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.3.8.3 TotalTaxes <TtlTaxes>

*Presence:* [0..1]

*Definition:* Total amount of taxes applied to the transaction that impacts the settlement amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.20.3.8.4 CommercialAgreementReference <ComrcIAgrmtRef>

*Presence:* [0..1]

*Definition:* Reference to the agreement established between the fund and another party. This element, amongst others, defines the conditions of the commissions.

*Datatype:* "Max35Text" on page 2536

#### 65.1.20.3.8.5 IndividualFee <IndvFee>

*Presence:* [0..\*]

*Definition:* Individual fee (charge/commission).

*Impacted by:* C6 "AppliedAmountRule"

**IndividualFee <IndvFee>** contains the following elements (see "Fee5" on page 1102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1103
{Or	Code <Cd>	[1..1]	CodeSet		1103
Or}	Proprietary <Prtry>	[1..1]	±		1104
	Basis <Bsis>	[0..1]			1104
{Or	Code <Cd>	[1..1]	CodeSet		1105
Or}	Proprietary <Prtry>	[1..1]	±		1105
	StandardAmount <StdAmt>	[0..1]	Amount	C2, C10	1105
	StandardRate <StdRate>	[0..1]	Rate		1106
	DiscountDetails <DscntDtls>	[0..1]		C14	1106
	Amount <Amt>	[0..1]	Amount	C2, C10	1106
	Rate <Rate>	[0..1]	Rate		1107
	Basis <Bsis>	[0..1]			1107
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108
	AppliedAmount <ApldAmt>	[0..1]	Amount	C2, C10	1108
	AppliedRate <ApldRate>	[0..1]	Rate		1108
	NonStandardSLAReference <NonStdSLARef>	[0..1]	Text		1108
	RecipientIdentification <RcptId>	[0..1]	±		1108
	InformativeIndicator <InftvInd>	[1..1]	Indicator		1109

### Constraints

- **AppliedAmountRule**

If InformativeIndicator is "false" or "0" (No), then AppliedAmount must be present.

On Condition

/InformativeIndicator is equal to value 'false'

Or /InformativeIndicator is equal to value '0'

Following Must be True

/AppliedAmount Must be present

### 65.1.20.3.8.6 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Individual tax.

**IndividualTax <IndvTax>** contains the following elements (see "Tax35" on page 2293 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2295
	AppliedAmount <ApldAmt>	[1..1]	Amount	C2, C10	2295
	AppliedRate <ApldRate>	[0..1]	Rate		2295
	Country <Ctry>	[0..1]	CodeSet	C11	2296
	RecipientIdentification <RcptId>	[0..1]	±		2296
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2296
	Basis <Bsis>	[0..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2297
Or}	Proprietary <Prtry>	[1..1]	±		2297
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2297

#### 65.1.20.3.9 OtherAmount <OthrAmt>

*Presence:* [0..\*]

*Definition:* Amount not covered in the price, fee or tax.

**OtherAmount <OthrAmt>** contains the following **OtherAmount1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1331
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332
	Amount <Amt>	[1..1]	Amount	C2, C10	1332

#### 65.1.20.3.9.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of amount.

**Type <Tp>** contains one of the following **OtherAmountType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1332
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1332

**65.1.20.3.9.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of amount expressed as a code.*Datatype:* "OtherAmountType1Code" on page 2471

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

**65.1.20.3.9.1.2 ProprietaryCode <PrtryCd>***Presence:* [1..1]*Definition:* Type of amount expressed as a proprietary code.

**ProprietaryCode <PrtryCd>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.20.3.9.2 Amount <Amt>***Presence:* [1..1]*Definition:* Currency and amount.*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.20.4 Quantity42Choice**

*Definition:* Total quantity of securities to be transferred, expressed in a number of units or a percentage rate.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1333
Or}	TransferRate <TrfRate>	[1..1]	Rate		1333

#### 65.1.20.4.1 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [1..1]

*Definition:* Total quantity of securities to be transferred.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.20.4.2 TransferRate <TrfRate>

*Presence:* [1..1]

*Definition:* Quantity of securities to be transferred as a percentage of the holding.

*Datatype:* "PercentageRate" on page 2534

### 65.1.21 Foreign Exchange

#### 65.1.21.1 ForeignExchangeTerms6

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C3	1333
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C3	1334
	ExchangeRate <XchgRate>	[1..1]	Rate		1334
	QuotationDate <QtnDt>	[0..1]	DateTime		1334
	QuotingInstitution <QtgInstn>	[0..1]	±		1334

##### 65.1.21.1.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.1.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode" on page 2417](#)

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.1.3 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* The value of one currency expressed in relation to another currency. ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

*Datatype:* ["BaseOneRate" on page 2533](#)

#### 65.1.21.1.4 QuotationDate <QtnDt>

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* ["ISODateTime" on page 2522](#)

#### 65.1.21.1.5 QuotingInstitution <QtglInstn>

*Presence:* [0..1]

*Definition:* Party that proposes a foreign exchange rate.

**QuotingInstitution <QtglInstn>** contains one of the following elements (see ["PartyIdentification2Choice" on page 1768](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.21.2 ForeignExchangeTerms37

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1335
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1335
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1336
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1336
	ExchangeRate <XchgRate>	[1..1]	Rate		1336
	QuotationDate <QtnDt>	[0..1]	DateTime		1337
	QuotingInstitution <QtgInstn>	[0..1]	±		1337

#### 65.1.21.2.1 ToAmount <ToAmt>

*Presence:* [0..1]

*Definition:* Cash amount resulting from a foreign exchange trade.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.21.2.2 FromAmount <FrAmt>

*Presence:* [0..1]

*Definition:* Cash amount for which a foreign exchange is required.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.21.2.3 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.2.4 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.2.5 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2}$ ,

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

Datatype: "BaseOneRate" on page 2533

#### 65.1.21.2.6 QuotationDate <QtnDt>

Presence: [0..1]

Definition: Date and time at which an exchange rate is quoted.

Datatype: "ISODatetime" on page 2522

#### 65.1.21.2.7 QuotingInstitution <QtgInstn>

Presence: [0..1]

Definition: Party that proposes the foreign exchange rate.

**QuotingInstitution <QtgInstn>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.21.3 ForeignExchangeTerms33

Definition: Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1337
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1338
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1338
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1339
	ExchangeRate <XchgRate>	[1..1]	Rate		1339
	QuotationDate <QtnDt>	[0..1]	DateTime		1339
	QuotingInstitution <QtgInstn>	[0..1]	±		1339

##### 65.1.21.3.1 ToAmount <ToAmt>

Presence: [0..1]

Definition: Cash amount resulting from a foreign exchange trade.

Impacted by: C2 "ActiveCurrency", C10 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.21.3.2 FromAmount <FrAmt>**

*Presence:* [0..1]

*Definition:* Cash amount for which a foreign exchange is required.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.21.3.3 UnitCurrency <UnitCcy>**

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.3.4 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.3.5 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2}$ ,

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Datatype:* "BaseOneRate" on page 2533

#### 65.1.21.3.6 QuotationDate <QtnDt>

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* "ISODatetime" on page 2522

#### 65.1.21.3.7 QuotingInstitution <QtglInstn>

*Presence:* [0..1]

*Definition:* Party that proposes the foreign exchange rate.

**QuotingInstitution <QtgInstn>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.21.4 ForeignExchangeTerms32

*Definition:* Information needed to process a currency exchange or conversion.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1340
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1340
	ExchangeRate <XchgRate>	[1..1]	Rate		1341
	QuotationDate <QtnDt>	[0..1]	DateTime		1341
	QuotingInstitution <QtgInstn>	[0..1]	±		1341

##### 65.1.21.4.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

##### 65.1.21.4.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417



**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.21.4.3 ExchangeRate <XchgRate>**

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects that amount of the quoted currency that can be purchased with one unit of the unit currency, as follows:

$1 \times \text{CUR1} = \text{nnn} \times \text{CUR2},$

where:

CUR1 is the unit currency

CUR2 is the quoted currency

nnn is the exchange rate.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Datatype:* "BaseOneRate" on page 2533

**65.1.21.4.4 QuotationDate <QtnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which an exchange rate is quoted.

*Datatype:* "ISODatetime" on page 2522

**65.1.21.4.5 QuotingInstitution <QtgInstn>**

*Presence:* [0..1]

*Definition:* Party that proposes a foreign exchange rate.

**QuotingInstitution <QtgInstn>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.21.5 ForeignExchangeTerms19**

*Definition:* Provides information about the terms of the foreign exchange transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 65.1.21.5.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.5.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.21.5.3 ExchangeRate <XchgRate>

*Presence:* [1..1]

*Definition:* Factor used for the conversion of an amount from one currency into another. This reflects the price at which one currency was bought with another currency.

*Usage:* ExchangeRate expresses the ratio between UnitCurrency and QuotedCurrency (ExchangeRate = UnitCurrency/QuotedCurrency).

*Datatype:* "BaseOneRate" on page 2533

## 65.1.22 Frequency

### 65.1.22.1 Frequency20Choice

*Definition:* Choice of formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1343
Or}	Proprietary <Prtry>	[1..1]	±		1343

#### 65.1.22.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Frequency expressed as a code.

*Datatype:* "EventFrequency8Code" on page 2439

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

#### 65.1.22.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.22.2 StatementFrequencyReason2Choice

*Definition:* Choice of formats for the specification of the statement frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1344
Or}	Proprietary <Prtry>	[1..1]	±		1345

### 65.1.22.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Statement frequency expressed as a code.

*Datatype:* "[EventFrequency9Code](#)" on page 2439

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

### 65.1.22.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Statement frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.23 Identification Information

### 65.1.23.1 AdditionalReference2

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1345
	ReferenceIssuer <RefIssr>	[0..1]	±		1345
	MessageName <MsgNm>	[0..1]	Text		1346

#### 65.1.23.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.23.1.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see ["PartyIdentification1Choice"](#) on page 1751 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI/>	[1..1]	IdentifierSet	C7	1751
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1752
Or}	NameAndAddress <NmAndAdr>	[1..1]			1752
	Name <Nm>	[1..1]	Text		1752
	Address <Adr>	[0..1]	±		1752

### 65.1.23.1.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* ["Max35Text"](#) on page 2536

### 65.1.23.2 IdentificationSource5Choice

*Definition:* Choice between source of identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	1346
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		1346

#### 65.1.23.2.1 DomesticIdentificationSource <DmstIdSrc>

*Presence:* [1..1]

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* [C11 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.23.2.2 ProprietaryIdentificationSource <PrtryIdSrc>

*Presence:* [1..1]

*Definition:* Entity that issues the proprietary identification.

*Datatype:* ["Max35Text"](#) on page 2536

### 65.1.23.3 AdditionalReference13

*Definition:* Reference to a related message or transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1347
	Referencelssuer <RefIssr>	[0..1]	±		1347
	MessageName <MsgNm>	[0..1]	Text		1347

#### 65.1.23.3.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Message identification of a message. This reference was assigned by the party issuing the message.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.3.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.23.3.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.4 References64Choice

*Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1347
Or}	OtherReference <OthrRef>	[1..2]	±		1348

#### 65.1.23.4.1 RelatedReference <RltdRef>

*Presence:* [1..2]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	Referencelssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.23.4.2 OtherReference <OthrRef>

*Presence:* [1..2]

*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.

**OtherReference <OthrRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	Referencelssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.23.5 AdditionalReference11

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1348
	Referencelssuer <RefIssr>	[0..1]	±		1348
	MessageName <MsgNm>	[0..1]	Text		1349

##### 65.1.23.5.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference identifying a set of messages.

*Datatype:* "Max35Text" on page 2536

##### 65.1.23.5.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.



**Referencelssuer <RefIssr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

### 65.1.23.5.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.6 AdditionalReference10

*Definition:* Reference and reference issuer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	Referencelssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

#### 65.1.23.6.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference issued by a party to identify an instruction, transaction or a message.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.6.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.23.6.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.7 References62Choice

*Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1350

#### 65.1.23.7.1 PreviousReference <PrvsRef>

*Presence:* [1..2]

*Definition:* Reference to a linked message that was previously sent.

**PreviousReference <PrvsRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

#### 65.1.23.7.2 OtherReference <OthrRef>

*Presence:* [1..2]

*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.

**OtherReference <OthrRef>** contains the following elements (see ["AdditionalReference8"](#) on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	ReferenceIssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

### 65.1.23.8 References61Choice

*Definition:* Choice of references used to reference a previous transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RelatedReference <RltdRef>	[1..2]	±		1350
Or}	OtherReference <OthrRef>	[1..2]	±		1351

#### 65.1.23.8.1 RelatedReference <RltdRef>

*Presence:* [1..2]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	Referencelssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

#### 65.1.23.8.2 OtherReference <OthrRef>

*Presence:* [1..2]

*Definition:* Reference to a linked proprietary message or reference of a system that was previously received.

**OtherReference <OthrRef>** contains the following elements (see "AdditionalReference8" on page 1351 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	Referencelssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

#### 65.1.23.9 AdditionalReference8

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1351
	Referencelssuer <RefIssr>	[0..1]	±		1351
	MessageName <MsgNm>	[0..1]	Text		1352

##### 65.1.23.9.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference issued by a party to identify an instruction, transaction or a message.

*Datatype:* "Max35Text" on page 2536

##### 65.1.23.9.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

### 65.1.23.9.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.10 AdditionalReference9

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1352
	ReferenceIssuer <RefIssr>	[0..1]	±		1352
	MessageName <MsgNm>	[0..1]	Text		1352

#### 65.1.23.10.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Reference identifying a set of messages.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.10.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.23.10.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of the message.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.11 GenericIdentification78

*Definition:* Identification expressed as a proprietary type and narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1353
	Identification <Id>	[0..1]	Text		1353

#### 65.1.23.11.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

**Type <Tp>** contains the following elements (see "[GenericIdentification30](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

#### 65.1.23.11.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.23.12 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		1353
Or}	Proprietary <Prtry>	[1..1]	±		1354

#### 65.1.23.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a code.

*Datatype:* "[TypeOfIdentification1Code](#)" on page 2516

CodeName	Name	Definition
ARNU	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
CCPT	PassportNumber	Number assigned by a passport authority.

CodeName	Name	Definition
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.

### 65.1.23.12.2 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 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

### 65.1.23.13 GenericIdentification82

*Definition:* Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IssDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

#### 65.1.23.13.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.23.13.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of identification.

**Type <Tp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356

#### 65.1.23.13.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "PartyIdentificationType7Code" on page 2472

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.

CodeName	Name	Definition
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 65.1.23.13.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.23.13.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.23.13.4 IssueDate <IssDt>

*Presence:* [0..1]

*Definition:* Date at which the identification was issued.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.23.13.5 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date at which the identification expires.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.23.13.6 State <Stat>

*Presence:* [0..1]

*Definition:* Name of the state, county or country sub-division that issued the identification document.

*Datatype:* "[Max70Text](#)" on page 2537

#### 65.1.23.13.7 IssuerCountry <IssrCtry>

*Presence:* [0..1]



*Definition:* Country that issued the identification document.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.23.14 GenericIdentification81

*Definition:* Information related to the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1357
	IdentificationType <IdTp>	[1..1]			1357
{Or	Code <Cd>	[1..1]	CodeSet		1357
Or}	Proprietary <Prtry>	[1..1]	±		1358

#### 65.1.23.14.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party, such as a tax or social security identifier.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.14.2 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Type of identification.

**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1357
Or}	Proprietary <Prtry>	[1..1]	±		1358

##### 65.1.23.14.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "PartyIdentificationType7Code" on page 2472

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).

CodeName	Name	Definition
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 65.1.23.14.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.23.15 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		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

#### 65.1.23.15.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

*Datatype:* "[Exact4AlphaNumericText](#)" on page 2534

#### 65.1.23.15.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.23.15.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.23.16 GenericIdentification36

*Definition:* Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.23.16.1 Identification <Id>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Max35Text" on page 2536**65.1.23.16.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 2536**65.1.23.16.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max35Text" on page 2536**65.1.23.17 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		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.23.17.1 Identification <Id>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 2534**65.1.23.17.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max4AlphaNumericText" on page 2536**65.1.23.17.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max4AlphaNumericText" on page 2536**65.1.23.18 SimpleIdentificationInformation***Definition:* Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361

#### 65.1.23.18.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, eg, account identifier.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.19 MessageIdentification1

*Definition:* Identifies a message by a unique identifier and the date and time when the message was created by the sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1361
	CreationDateTime <CreDtTm>	[1..1]	DateTime		1361

#### 65.1.23.19.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the message.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.19.2 CreationDateTime <CreDtTm>

*Presence:* [1..1]

*Definition:* Date of creation of the message.

*Datatype:* "ISODateTime" on page 2522

#### 65.1.23.20 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		1361
Or}	Proprietary <Prtry>	[1..1]	Text		1362

#### 65.1.23.20.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification source, as assigned via a pre-determined code list.

*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 2440

### 65.1.23.20.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification source using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.21 IdentificationSource1Choice

*Definition:* Choice of proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Domestic <Dmst>	[1..1]	CodeSet	C11	1362
Or}	Proprietary <Prtry>	[1..1]	Text		1362

#### 65.1.23.21.1 Domestic <Dmst>

*Presence:* [1..1]

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.23.21.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Entity that issues the proprietary identification.

*Datatype:* "Max35Text" on page 2536

### 65.1.23.22 GenericIdentification7

*Definition:* Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1362
	Information <Inf>	[1..1]	Text		1363

#### 65.1.23.22.1 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max8Text" on page 2537

**65.1.23.22.2 Information <Inf>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Max35Text" on page 2536**65.1.23.23 GenericIdentification6***Definition:* Balance expressed with a data source scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1363
	Balance <Bal>	[1..1]	Quantity		1363

**65.1.23.23.1 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max8Text" on page 2537**65.1.23.23.2 Information <Inf>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 2534**65.1.23.23.3 Balance <Bal>***Presence:* [1..1]*Definition:* Value of the balance.*Datatype:* "Number" on page 2533**65.1.23.24 GenericIdentification5***Definition:* Information expressed in a proprietary manner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1364
	Narrative <Nrrtv>	[0..1]	Text		1364

**65.1.23.24.1 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max8Text" on page 2537

**65.1.23.24.2 Information <Inf>***Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 2534**65.1.23.24.3 Narrative <Nrrtv>***Presence:* [0..1]*Definition:* Additional information.*Datatype:* "Max35Text" on page 2536**65.1.23.25 GenericIdentification3***Definition:* Information related to an identification, for example, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1364
	Issuer <Issr>	[0..1]	Text		1364

**65.1.23.25.1 Identification <Id>***Presence:* [1..1]*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.*Datatype:* "Max35Text" on page 2536**65.1.23.25.2 Issuer <Issr>***Presence:* [0..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 2536**65.1.23.26 GenericIdentification27***Definition:* Information related to an identification, eg, party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1364
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[1..1]	Text		1365

**65.1.23.26.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification assigned by an institution.



*Datatype:* "Max4AlphaNumericText" on page 2536

#### 65.1.23.26.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* "Max4AlphaNumericText" on page 2536

#### 65.1.23.26.3 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max4AlphaNumericText" on page 2536

#### 65.1.23.27 GenericIdentification1

*Definition:* Information related to an identification, for example party identification or account identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.23.27.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.27.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.27.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.28 AdditionalReference3

*Definition:* References a related message or provides another reference, such as a pool reference, linking a set of messages. The party which issued the related reference may be the Sender of the referenced message or a party other than the Sender.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

#### 65.1.23.28.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.23.28.2 ReferenceIssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.23.28.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 2536

## 65.1.24 Investment Account

### 65.1.24.1 InvestmentAccountCategory1Choice

*Definition:* Choice of formats for the specification of the category of investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1366
Or}	Proprietary <Prtry>	[1..1]	±		1367

#### 65.1.24.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Category of investment account expressed as a code.

Datatype: "InvestmentAccountCategory1Code" on page 2449

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

#### 65.1.24.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Category of investment account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.24.2 SafekeepingAccount2

*Definition:* Safekeeping or investment account. A safekeeping account is an account on which a securities entry is made. An investment account is an account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1367
	FungibleIndicator <Fngblnd>	[1..1]	Indicator		1368
	Name <Nm>	[0..1]	Text		1368
	Designation <Dsgnt>	[0..1]	Text		1368
	IntermediaryInformation <IntrmyInf>	[0..10]	±		1368
	AccountOwner <AcctOwnr>	[0..1]	±		1369
	AccountServicer <AcctSvcr>	[0..1]	±		1369

##### 65.1.24.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains one of the following elements (see "[AccountIdentificationFormatChoice](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	SimpleIdentification <SmplId>	[1..1]	±		1004
Or	IdentificationAndPurpose <IdAndPurp>	[1..1]			1005
	Identification <Id>	[1..1]	±		1005
	Purpose <Purp>	[1..1]	CodeSet		1005
Or}	IdentificationAsDSS <IdAsDSS>	[1..1]	±		1006

#### 65.1.24.2.2 FungibleIndicator <Fngblnd>

*Presence:* [1..1]

*Definition:* Indicates whether the securities in the account are fungible, ie, interchangeable.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.2.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.2.4 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.2.5 IntermediaryInformation <IntrmyInf>

*Presence:* [0..10]

*Definition:* Party that provides services relating to financial products to investors, eg, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary11" on page 1769 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1770
	Account <Acct>	[0..1]	±		1770
{Or	Role <Role>	[0..1]	CodeSet		1770
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		1771

#### 65.1.24.2.6 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.24.2.7 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.24.3 InvestmentAccount74

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1371
	AccountStatus <AcctSts>	[0..1]	±	C6, C7, C8, C9, C10, C11, C14, C15, C32	1371
	BlockedStatus <BlckdSts>	[0..1]	±		1373
	StatusDate <StsDt>	[0..1]	±		1373
	Name <Nm>	[0..1]	Text		1374
	Designation <Dsgnt>	[0..1]	Text		1374
	Type <Tp>	[0..1]	±		1374
	OwnershipType <OwnrshTp>	[0..1]	±		1374
	TaxExemption <TaxXmptn>	[0..1]	±		1375
	StatementFrequency <StmtFrqcy>	[0..1]	±		1375
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1375
	Language <Lang>	[0..1]	CodeSet	C34	1375
	IncomePreference <IncmPref>	[0..1]	CodeSet		1376
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1376
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1376
	TaxReporting <TaxRptg>	[0..*]	±		1377
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1378
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1379
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1379
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1379
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1379
	RoundingDetails <RndgDtls>	[0..1]	±		1380
	AccountServicer <AcctSvcr>	[0..1]	±		1381
	AccountUsageType <AcctUsgrTp>	[0..1]	±		1381
	ForeignStatusCertification <FrgrStsCertfctn>	[0..1]	CodeSet		1381
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1381
	TransactionChannelType <TxChanITp>	[0..1]	±		1382
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1382
	Pledging <Pldgg>	[0..1]	CodeSet		1382

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Collateral <Coll>	[0..1]	CodeSet		1382
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1383
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1383
	AccountingStatus <AcctgSts>	[0..1]	±		1383
	OpeningDate <OpngDt>	[0..1]	±		1384
	ClosingDate <ClsgDt>	[0..1]	±		1384
	NegativeIndicator <NegInd>	[0..1]	Indicator		1384
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1384
	Liability <Lbilty>	[0..1]	±		1384
	InvestorProfile <InvstrPrfl>	[0..*]	±		1385
	FiscalYear <FscYr>	[0..1]	±		1386

### Constraints

- **FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition

/IncomePreference is equal to value 'Cash'

Following Must be True

/ReinvestmentDetails[\*] Must be absent

- **ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

#### 65.1.24.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.3.2 AccountStatus <AcctSts>

*Presence:* [0..1]

*Definition:* Status of the account.

*Impacted by:* C6 "ClosedStatus1Rule", C7 "ClosedStatus2Rule", C8 "ClosedStatus3Rule", C9 "ClosedStatus4Rule", C10 "ClosedStatus5Rule", C11 "ClosedStatus6Rule", C14 "EnabledDisabledStatus1Rule", C15 "EnabledDisabledStatus2Rule", C32 "StatusElementRule"

**AccountStatus <AcctSts>** contains the following elements (see "AccountStatus2" on page 2244 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2245
	Disabled <Dsbl>	[0..1]	±		2246
	Pending <Pdg>	[0..1]	±		2246
	PendingOpening <PdgOpng>	[0..1]	±		2246
	Proforma <Profrm>	[0..1]	±		2247
	Closed <Clsd>	[0..1]	±		2247
	ClosurePending <ClsrPdg>	[0..1]	±		2248
	Other <Othr>	[0..*]	±		2248

### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Enabled Must be absent
```

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```

- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Pending Must be absent
```

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /PendingOpening Must be absent
```

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Proforma Must be absent
```



- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

```
On Condition
  /Closed is absent
Following Must be True
  /ClosurePending Must be absent
```

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

```
On Condition
  /Enabled is present
Following Must be True
  /Disabled Must be absent
```

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

```
On Condition
  /Disabled is present
Following Must be True
  /Enabled Must be absent
```

- **StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

#### 65.1.24.3.3 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "[BlockedStatusReason2Choice](#)" on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2262
Or}	Reason <Rsn>	[1..*]			2263
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266

#### 65.1.24.3.4 StatusDate <StsDt>

*Presence:* [0..1]

*Definition:* Date the status is assigned.

**StatusDate <StsDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.24.3.5 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.24.3.6 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.24.3.7 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see ["AccountType2Choice"](#) on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.24.3.8 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Ownership status of the account, for example, joint owners.

**OwnershipType <OwnrshTp>** contains one of the following elements (see ["OwnershipType2Choice"](#) on page 1487 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1487
Or}	Proprietary <Prtry>	[1..1]	±		1488

### 65.1.24.3.9 TaxExemption <TaxXmptn>

*Presence:* [0..1]

*Definition:* Tax advantage specific to the account.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2269 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

### 65.1.24.3.10 StatementFrequency <StmtFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which a statement is issued.

**StatementFrequency <StmtFrqcy>** contains one of the following elements (see "[StatementFrequencyReason2Choice](#)" on page 1344 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1344
Or}	Proprietary <Prtry>	[1..1]	±		1345

### 65.1.24.3.11 ReferenceCurrency <RefCcy>

*Presence:* [0..1]

*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.24.3.12 Language <Lang>

*Presence:* [0..1]

*Definition:* Language for all communication concerning the account.

*Impacted by:* [C34 "ValidationByTable"](#)

*Datatype:* ["LanguageCode"](#) on page 2465

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**65.1.24.3.13 IncomePreference <IncMPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**65.1.24.3.14 ReinvestmentDetails <RinvstmtDtls>**

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails <RinvstmtDtls>** contains the following elements (see "Reinvestment4" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1482
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C2	1483
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1483

**65.1.24.3.15 TaxWithholdingMethod <TaxWhldgMtd>**

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2510

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.

CodeName	Name	Definition
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 65.1.24.3.16 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.24.3.17 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1735 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1736
	Amount <Amt>	[0..1]	Amount	C2	1736
	StartDate <StartDt>	[0..1]	Date		1736
	EndDate <EndDt>	[0..1]	Date		1736

#### 65.1.24.3.18 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.3.19 RequiredSignatoriesNumber <ReqrdSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2533

#### 65.1.24.3.20 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2536

#### 65.1.24.3.21 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldgg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.24.3.22 RoundingDetails <RndgDtls>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.



**RoundingDetails <RndgDtls>** contains the following elements (see ["RoundingParameters1"](#) on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1010
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1010

#### 65.1.24.3.23 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see ["PartyIdentification125Choice"](#) on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.24.3.24 AccountUsageType <AcctUsgTp>

*Presence:* [0..1]

*Definition:* Specifies the type of usage of the account.

**AccountUsageType <AcctUsgTp>** contains one of the following elements (see ["AccountUsageType2Choice"](#) on page 1486 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1487

#### 65.1.24.3.25 ForeignStatusCertification <FrgnStsCertfctn>

*Presence:* [0..1]

*Definition:* Specifies if documentary evidence has been provided for the foreign resident.

*Datatype:* ["Provided1Code"](#) on page 2481

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

#### 65.1.24.3.26 AccountSignatureDateTime <AcctSgntrDtTm>

*Presence:* [0..1]

*Definition:* Date the investor or account owner signs the open account form.

**AccountSignatureDateTime <AcctSgntrDtTm>** contains one of the following elements (see "DateAndDateTime1Choice" on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.24.3.27 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see "TransactionChannelType1Choice" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 65.1.24.3.28 InvestmentAccountCategory <InvstmtAcctCtgy>

*Presence:* [0..1]

*Definition:* Specifies the category of the account.

**InvestmentAccountCategory <InvstmtAcctCtgy>** contains one of the following elements (see "InvestmentAccountCategory1Choice" on page 1366 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1366
Or}	Proprietary <Prtry>	[1..1]	±		1367

#### 65.1.24.3.29 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2436

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 65.1.24.3.30 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2426

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

### 65.1.24.3.31 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see ["ThirdPartyRights2"](#) on page 1483 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1483
	DateTime <DtTm>	[0..1]	DateTime		1484
	Holder <Hldr>	[0..1]	±		1484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1484
	Amount <Amt>	[0..1]	Amount	C2, C10	1484
	Description <Desc>	[0..1]	Text		1484

### 65.1.24.3.32 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>

*Presence:* [0..1]

*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>** contains one of the following elements (see ["LevelOfControl1Choice"](#) on page 1690 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1690

### 65.1.24.3.33 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see ["AccountingStatus1Choice"](#) on page 2186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

**65.1.24.3.34 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.3.35 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.3.36 NegativeIndicator <NegInd>***Presence:* [0..1]*Definition:* Indicates whether the account can hold a negative position in a security.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.3.37 ProcessingOrder <PrcgOrdr>***Presence:* [0..1]*Definition:* Order in which securities are moved from the account.*Datatype:* ["PositionEffect3Code"](#) on page 2479

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**65.1.24.3.38 Liability <Lbly>***Presence:* [0..1]

*Definition:* Specifies whether the investor assumes responsibility for the liability.

**Liability <Lbly>** contains one of the following elements (see "Liability1Choice" on page 1689 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1689
Or}	Proprietary <Prtry>	[1..1]	±		1690

#### 65.1.24.3.39 InvestorProfile <InvstrPrfl>

*Presence:* [0..\*]

*Definition:* Information used to determine fees and types of operations that can be carried out on the account.

**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1665
{Or	Code <Cd>	[1..1]	CodeSet		1666
Or}	Proprietary <Prtry>	[1..1]	±		1666
	Status <Sts>	[0..1]			1667
{Or	Code <Cd>	[1..1]	CodeSet		1667
Or}	Proprietary <Prtry>	[1..1]	±		1667
	Treasury <Trsr>	[0..1]			1668
	Date <Dt>	[1..1]	Date		1668
	TraderType <TradrTp>	[1..1]			1668
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669
	Rate <Rate>	[1..1]	Rate		1669
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1669
	Date <Dt>	[0..1]	Date		1669
	SettlementFrequency <SttlmFrqcy>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670
	ConsolidationType <CnsltdtnTp>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671
	MarketMaker <MktMakr>	[0..1]			1671
	ContractPeriod <CtrctPrd>	[0..1]			1671
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672
	Compliance <Cmplc>	[0..1]	Indicator		1672
	MaximumSpread <MaxSprd>	[0..1]	Rate		1672
	Discount <Dscnt>	[0..1]	Rate		1672

#### 65.1.24.3.40 FiscalYear <Fsclyr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "FiscalYear1Choice" on page 1147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1147
Or}	EndDate <EndDt>	[1..1]	Date		1147

#### 65.1.24.4 InvestmentAccount73

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1389
	Name <Nm>	[0..1]	Text		1389
	Designation <Dsgnt>	[0..1]	Text		1389
	Type <Tp>	[0..1]	±		1390
	OwnershipType <OwnrshTp>	[1..1]	±		1390
	TaxExemption <TaxXmptn>	[0..1]	±		1390
	StatementFrequency <StmntFrqcy>	[0..1]	±		1390
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1391
	Language <Lang>	[0..1]	CodeSet	C34	1391
	IncomePreference <IncmPref>	[0..1]	CodeSet		1391
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1391
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1392
	TaxReporting <TaxRptg>	[0..*]	±		1392
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1393
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1394
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1394
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1394
	FinancialInstrumentDetails <FinInstrmDtls>	[0..*]	±	C20	1394
	RoundingDetails <RndgDtls>	[0..1]	±		1395
	AccountServicer <AcctSvcr>	[0..1]	±		1396
	BlockedStatus <BlckdSts>	[0..1]	±		1396
	AccountUsageType <AcctUsqTp>	[0..1]	±		1397
	ForeignStatusCertification <FrqnStsCertfctn>	[0..1]	CodeSet		1397
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1397
	TransactionChannelType <TxChanITp>	[0..1]	±		1397
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1397
	Pledging <Pldgg>	[0..1]	CodeSet		1398
	Collateral <Coll>	[0..1]	CodeSet		1398
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1398
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvIOfCtrl>	[0..1]	±		1399
	AccountingStatus <AcctgSts>	[0..1]	±		1399



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OpeningDate <OpngDt>	[0..1]	±		1399
	ClosingDate <ClsgDt>	[0..1]	±		1399
	NegativeIndicator <NegInd>	[0..1]	Indicator		1400
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1400
	Liability <Lblty>	[0..1]	±		1400
	InvestorProfile <InvstrPrfl>	[0..*]	±		1400
	FiscalYear <FscYr>	[0..1]	±		1401

### Constraints

- **FinancialInstrumentDetailsGuideline**

FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestment1Rule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

```
On Condition
  /IncomePreference is equal to value 'Cash'
Following Must be True
  /ReinvestmentDetails[*] Must be absent
```

- **ReinvestmentPercentage1Rule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

#### 65.1.24.4.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.4.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.4.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are

registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.4.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see "AccountType2Choice" on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.24.4.5 OwnershipType <OwnrshTp>

*Presence:* [1..1]

*Definition:* Ownership status of the account, for example, joint owners.

**OwnershipType <OwnrshTp>** contains one of the following elements (see "OwnershipType2Choice" on page 1487 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1487
Or}	Proprietary <Prtry>	[1..1]	±		1488

#### 65.1.24.4.6 TaxExemption <TaxXmptn>

*Presence:* [0..1]

*Definition:* Tax advantage specific to the account.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "TaxExemptionReason2Choice" on page 2269 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

#### 65.1.24.4.7 StatementFrequency <StmtFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which a statement is issued.

**StatementFrequency <StmntFrqcy>** contains one of the following elements (see "StatementFrequencyReason2Choice" on page 1344 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1344
Or}	Proprietary <Prtry>	[1..1]	±		1345

#### 65.1.24.4.8 ReferenceCurrency <RefCcy>

*Presence:* [0..1]

*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.24.4.9 Language <Lang>

*Presence:* [0..1]

*Definition:* Language for all communication concerning the account.

*Impacted by:* [C34 "ValidationByTable"](#)

*Datatype:* ["LanguageCode"](#) on page 2465

##### Constraints

- **ValidationByTable**

Must be a valid terrestrial language.

#### 65.1.24.4.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.24.4.11 ReinvestmentDetails <RinvstmtDtls>

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails** <RinvstmtDtls> contains the following elements (see "Reinvestment4" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1482
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C2	1483
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1483

#### 65.1.24.4.12 TaxWithholdingMethod <TaxWhldgMtd>

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2510

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 65.1.24.4.13 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.24.4.14 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1735 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1736
	Amount <Amt>	[0..1]	Amount	C2	1736
	StartDate <StartDt>	[0..1]	Date		1736
	EndDate <EndDt>	[0..1]	Date		1736

#### 65.1.24.4.15 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.4.16 RequiredSignatoriesNumber <ReqrdSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2533

#### 65.1.24.4.17 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2536

#### 65.1.24.4.18 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldgg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.24.4.19 RoundingDetails <RndgDtls>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.

**RoundingDetails <RndgDtls>** contains the following elements (see "RoundingParameters1" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1010
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1010

#### 65.1.24.4.20 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.24.4.21 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2262
Or}	Reason <Rsn>	[1..*]			2263
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266



**65.1.24.4.22 AccountUsageType <AcctUsgTp>***Presence:* [0..1]*Definition:* Type of usage of the account.

**AccountUsageType <AcctUsgTp>** contains one of the following elements (see "[AccountUsageType2Choice](#)" on page 1486 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1487

**65.1.24.4.23 ForeignStatusCertification <FrngStsCertfctn>***Presence:* [0..1]*Definition:* Specifies if documentary evidence has been provided for the foreign resident.*Datatype:* "Provided1Code" on page 2481

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

**65.1.24.4.24 AccountSignatureDateTime <AcctSgntrDtTm>***Presence:* [0..1]*Definition:* Date the investor or account owner signs the open account form.

**AccountSignatureDateTime <AcctSgntrDtTm>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.4.25 TransactionChannelType <TxChanITp>***Presence:* [0..1]*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanITp>** contains one of the following elements (see "[TransactionChannelType1Choice](#)" on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

**65.1.24.4.26 InvestmentAccountCategory <InvstmtAcctCtgy>***Presence:* [0..1]

*Definition:* Category of the account.

**InvestmentAccountCategory <InvstmtAcctCtgy>** contains one of the following elements (see "InvestmentAccountCategory1Choice" on page 1366 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1366
Or}	Proprietary <Prtry>	[1..1]	±		1367

#### 65.1.24.4.27 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* "Eligible1Code" on page 2436

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 65.1.24.4.28 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* "Collateral1Code" on page 2426

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 65.1.24.4.29 ThirdPartyRights <ThrdPtyRights>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRights>** contains the following elements (see "ThirdPartyRights2" on page 1483 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1483
	DateTime <DtTm>	[0..1]	DateTime		1484
	Holder <Hldr>	[0..1]	±		1484
	LegalEntityIdentifier <LglnTtyldr>	[0..1]	IdentifierSet		1484
	Amount <Amt>	[0..1]	Amount	C2, C10	1484
	Description <Desc>	[0..1]	Text		1484

**65.1.24.4.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>***Presence:* [0..1]*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>** contains one of the following elements (see "[LevelOfControl1Choice](#)" on page 1690 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1690

**65.1.24.4.31 AccountingStatus <AcctgSts>***Presence:* [0..1]*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.**AccountingStatus <AcctgSts>** contains one of the following elements (see "[AccountingStatus1Choice](#)" on page 2186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

**65.1.24.4.32 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.4.33 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.4.34 NegativeIndicator <NegInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the account can hold a negative position in a security.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.4.35 ProcessingOrder <PrcgOrdr>**

*Presence:* [0..1]

*Definition:* Order in which securities are moved from the account.

*Datatype:* ["PositionEffect3Code"](#) on page 2479

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**65.1.24.4.36 Liability <Lbly>**

*Presence:* [0..1]

*Definition:* Specifies whether the investor assumes responsibility for the liability.

**Liability <Lbly>** contains one of the following elements (see ["Liability1Choice"](#) on page 1689 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1689
Or}	Proprietary <Prtry>	[1..1]	±		1690

**65.1.24.4.37 InvestorProfile <InvstrPrfl>**

*Presence:* [0..\*]

*Definition:* Information used to determine fees and types of operations that can be carried out on the account.

**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1665
{Or	Code <Cd>	[1..1]	CodeSet		1666
Or}	Proprietary <Prtry>	[1..1]	±		1666
	Status <Sts>	[0..1]			1667
{Or	Code <Cd>	[1..1]	CodeSet		1667
Or}	Proprietary <Prtry>	[1..1]	±		1667
	Treasury <Trsr>	[0..1]			1668
	Date <Dt>	[1..1]	Date		1668
	TraderType <TradrTp>	[1..1]			1668
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669
	Rate <Rate>	[1..1]	Rate		1669
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1669
	Date <Dt>	[0..1]	Date		1669
	SettlementFrequency <SttlmFrqcy>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670
	ConsolidationType <CnsltdtnTp>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671
	MarketMaker <MktMakr>	[0..1]			1671
	ContractPeriod <CtrctPrd>	[0..1]			1671
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672
	Compliance <Cmplc>	[0..1]	Indicator		1672
	MaximumSpread <MaxSprd>	[0..1]	Rate		1672
	Discount <Dscnt>	[0..1]	Rate		1672

#### 65.1.24.4.38 FiscalYear <Fsclyr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "FiscalYear1Choice" on page 1147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1147
Or}	EndDate <EndDt>	[1..1]	Date		1147

#### 65.1.24.5 Account31

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1402
	AccountName <AcctNm>	[0..1]	Text		1402
	Designation <Dsgnt>	[0..1]	Text		1402
	Servicer <Svcr>	[0..1]	±		1402
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1403

##### 65.1.24.5.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

##### 65.1.24.5.2 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.24.5.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

##### 65.1.24.5.4 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**Servicer <Svcr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.5.5 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-accounts that are grouped in a master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.24.6 Account28

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..1]	±		1403
	AccountIdentification <AcctId>	[0..1]	Text		1404
	Designation <Dsgnt>	[0..1]	Text		1404
	AccountName <AcctNm>	[0..1]	Text		1404
	Servicer <Svcr>	[0..1]	±		1404
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1405

##### 65.1.24.6.1 OwnerIdentification <Ownrld>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.24.6.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.6.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.6.4 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.6.5 Servicer <Svcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.



**Servicer <Svcr>** contains the following elements (see "[PartyIdentification132](#)" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.24.6.6 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccount5](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.24.7 InvestmentAccount72

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1406
	AccountIdentification <AcctId>	[1..1]	Text		1406
	AccountName <AcctNm>	[0..1]	Text		1407
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1407
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1407
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1407
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1408
	IncomePreference <IncmPref>	[0..1]	CodeSet		1408
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1408
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1408
	AccountServicer <AcctSvcr>	[0..1]	±		1409
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1409

### Constraints

- **AccountIdentificationGuideline**

It is recommended that AccountIdentification be used to identify an account.

- **AccountIdentificationRule**

At least one occurrence of one message element in the list (OwnerIdentification, AccountIdentification, AccountName) must be present. If an element in the list is repetitive, more than one occurrence of this message element may be present. More than one message element in the list may be present.

#### 65.1.24.7.1 OwnerIdentification <Ownrld>

*Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.7.2 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: "Max35Text" on page 2536

#### 65.1.24.7.3 AccountName <AcctNm>

Presence: [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: "Max35Text" on page 2536

#### 65.1.24.7.4 AccountDesignation <AcctDsgnt>

Presence: [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: "Max35Text" on page 2536

#### 65.1.24.7.5 IntermediaryInformation <IntrmyInf>

Presence: [0..\*]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.24.7.6 SecuritiesForm <SctiesForm>

Presence: [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

Datatype: "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.24.7.7 DematerialisedIndicator <DmtrlsdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.7.8 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**65.1.24.7.9 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>**

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**65.1.24.7.10 SafekeepingPlace <SfkpgPlc>**

*Presence:* [0..1]

*Definition:* Place requested as the place of safekeeping.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see ["SafekeepingPlaceFormat28Choice"](#) on page 2131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

#### 65.1.24.7.11 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see ["PartyIdentification139"](#) on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.7.12 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-accounts that are grouped in a master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see ["SubAccount5"](#) on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.24.8 InvestmentAccount71

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <Ownrld>	[0..*]	±		1410
	AccountIdentification <AcctId>	[1..1]	Text		1410
	AccountName <AcctNm>	[0..1]	Text		1410
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1411
	AccountServicer <AcctSvcr>	[0..1]	±		1411
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1411
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1411
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1412
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1412
	IncomePreference <IncmPref>	[0..1]	CodeSet		1412
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1413
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1413
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1413

#### 65.1.24.8.1 OwnerIdentification <Ownrld>

*Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.8.2 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.8.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.8.4 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.8.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.8.6 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "[SubAccount5](#)" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.24.8.7 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Party that provides services relating to financial products to investors, for example, advice on products and placement of orders for the investment fund.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.24.8.8 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.24.8.9 DematerialisedIndicator <DmtrlsdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.8.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.



### 65.1.24.8.11 BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

### 65.1.24.8.12 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place requested as the place of safekeeping.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification </Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

### 65.1.24.8.13 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters16" on page 2345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2345
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2346
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2346
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2346

### 65.1.24.9 InvestmentAccount70

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[0..*]	±		1414
	AccountIdentification <AcctId>	[1..1]	Text		1415
	AccountName <AcctNm>	[0..1]	Text		1415
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1415
	AccountServicer <AcctSvcr>	[0..1]	±		1415
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1415
	IntermediaryInformation <IntrmyInf>	[0..*]	±		1416
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1416
	DematerialisedIndicator <DmtrlSdInd>	[0..1]	Indicator		1416
	IncomePreference <IncmPref>	[0..1]	CodeSet		1417
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		1417
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		1417
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		1418

#### 65.1.24.9.1 OwnerIdentification <OwnrId>

*Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <OwnrId>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.9.2 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.9.3 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.9.4 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.24.9.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.24.9.6 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails <SubAcctDtls>** contains the following elements (see "SubAccount5" on page 1004 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1004
	Name <Nm>	[0..1]	Text		1004
	Characteristic <Chrtc>	[0..1]	Text		1004

#### 65.1.24.9.7 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.24.9.8 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.24.9.9 DematerialisedIndicator <DmtrlSdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.9.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.24.9.11 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 65.1.24.9.12 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place requested as the place of safekeeping.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

### 65.1.24.9.13 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "FundSettlementParameters15" on page 2348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2348
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2348
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2349
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2349

### 65.1.24.10 InvestmentAccountOwnershipInformation17

*Definition:* Characteristics of the ownership of an investment account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <OthrId>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWith>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.24.10.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Information about the organisation or individual person.

**Party <Pty>** contains one of the following **Party48Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421

##### 65.1.24.10.1.1 Organisation <Org>

*Presence:* [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

*Impacted by:* C20 "OrganisationElementRule"



**Organisation <Org>** contains the following elements (see "Organisation40" on page 1753 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1753
	ShortName <ShrtNm>	[0..1]	Text		1753
	Identification <Id>	[0..1]			1754
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1754
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1754
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1754
	Purpose <Purp>	[0..1]	Text		1755
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1755
	RegistrationDate <RegnDt>	[0..1]	Date		1755
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			1755
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1755
	PostalAddress <PstlAdr>	[1..1]	±	C23	1756
	TypeOfOrganisation <TpOfOrg>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1757
Or}	Proprietary <Prtry>	[1..1]	±		1757
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1757

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 65.1.24.10.1.2 IndividualPerson <IndvPrsn>

*Presence:* [1..1]

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

**IndividualPerson <IndvPrsn>** contains the following elements (see "IndividualPerson38" on page 2027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2029
{Or	Code <Cd>	[1..1]	CodeSet		2029
Or}	Proprietary <Prtry>	[1..1]	±		2030
	GivenName <GvnNm>	[0..1]	Text		2030
	MiddleName <MddlNm>	[0..1]	Text		2030
	Name <Nm>	[1..1]	Text		2030
	NameSuffix <NmSfx>	[0..1]	Text		2030
	Gender <Gndr>	[0..1]	CodeSet		2030
	BirthDate <BirthDt>	[0..1]	Date		2031
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2031
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2031
	CityOfBirth <CityOfBirth>	[0..1]	Text		2031
	Profession <Prfssn>	[0..1]	Text		2031
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2031
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2032
	PostalAddress <PstlAdr>	[1..1]	±	C23	2032
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2033
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2034
	Citizenship <Ctzsh>	[1..1]			2034
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2034
	MinorIndicator <MnrInd>	[1..1]	Indicator		2034
	EmployingCompany <EmplngCpny>	[0..1]	Text		2035
	BusinessFunction <BizFctn>	[0..1]	Text		2035
	PoliticallyExposedPerson <PltclYpsdPrsn>	[0..1]		C29	2035
	PoliticallyExposedPersonType <PltclYpsdPrsnTp>	[1..1]			2035
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2036
	PoliticallyExposedPersonStatus <PltclYpsdPrsnSts>	[0..1]			2036
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2037

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeathDate <DthDt>	[0..1]	Date		2037
	CivilStatus <Cv/Sts>	[0..1]			2038
{Or	Code <Cd>	[1..1]	CodeSet		2038
Or}	Proprietary <Prtry>	[1..1]	±		2038
	EducationLevel <EdctnLvl>	[0..1]	Text		2038
	FamilyInformation <FmlyInf>	[0..1]			2039
	NameOfFather <NmOfFthr>	[0..1]	Text		2039
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2039
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2039
	GDPRData <GDPRData>	[0..*]			2039
	ConsentType <CnsntTp>	[1..1]			2039
{Or	Code <Cd>	[1..1]	CodeSet		2040
Or}	Proprietary <Prtry>	[1..1]	±		2040
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2040
	ConsentDate <CnsntDt>	[1..1]	Date		2041

#### 65.1.24.10.2 MoneyLaunderingCheck <MnyLndrgChck>

*Presence:* [0..1]

*Definition:* Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

**MoneyLaunderingCheck <MnyLndrgChck>** contains one of the following elements (see "[MoneyLaunderingCheck1Choice](#)" on page 1910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1911
Or}	Proprietary <Prtry>	[1..1]	±		1911

#### 65.1.24.10.3 ModifiedInvestorProfileValidation <ModfdInvstrPrfIVldtn>

*Presence:* [0..\*]

*Definition:* Information related to the party profile to be inserted or deleted.

**ModifiedInvestorProfileValidation <ModfdInvstrPrfIVldtn>** contains the following **ModificationScope27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrfIVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLv>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428

#### 65.1.24.10.3.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification2Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.24.10.3.2 InvestorProfileValidation <InvstrPrfIVldtn>

*Presence:* [1..1]

*Definition:* Detailed information about the party profile information.

**InvestorProfileValidation <InvstrPrfIVldtn>** contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLv/>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428

#### 65.1.24.10.3.2.1 CertificationIndicator <CertfctnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the certificate type has been obtained and verified.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.10.3.2.2 ValidatingParty <VldtngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who validated the document.

*Datatype:* "Max140Text" on page 2535

#### 65.1.24.10.3.2.3 CheckingParty <ChckngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who checked the document.

*Datatype:* "Max140Text" on page 2535

**65.1.24.10.3.2.4 ResponsibleParty <RspnsblPty>***Presence:* [0..1]*Definition:* Identification of the person who is responsible for the document.*Datatype:* "Max140Text" on page 2535**65.1.24.10.3.2.5 CertificateType <CertTp>***Presence:* [0..1]*Definition:* Type of certificate.**CertificateType <CertTp>** contains one of the following elements (see "CertificationType1Choice" on page 1866 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1866
Or}	Proprietary <Prtry>	[1..1]	±		1866

**65.1.24.10.3.2.6 CheckingDate <ChckngDt>***Presence:* [0..1]*Definition:* Date at which the certification check has been performed.*Datatype:* "ISODate" on page 2521**65.1.24.10.3.2.7 CheckingFrequency <ChckngFrqcy>***Presence:* [0..1]*Definition:* Specifies how frequently the check is performed.*Datatype:* "EventFrequency1Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

#### 65.1.24.10.3.2.8 NextRevisionDate <NxtRvsnDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the next certification check will be performed.

*Datatype:* "ISODate" on page 2521

#### 65.1.24.10.3.2.9 SalaryRange <SlryRg>

*Presence:* [0..1]

*Definition:* Limits between which a person's salary is estimated.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.10.3.2.10 SourceOfWealth <SrcOfWlth>

*Presence:* [0..1]

*Definition:* Indicates the main source of revenue.

*Datatype:* "Max140Text" on page 2535

#### 65.1.24.10.3.2.11 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Specifies an assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 65.1.24.10.3.2.12 RiskLevel <RskLvl>

*Presence:* [0..1]

*Definition:* Specifies the customer's money laundering risk.

**RiskLevel <RskLvl>** contains one of the following elements (see "RiskLevel2Choice" on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.24.10.3.2.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>

*Presence:* [0..1]

*Definition:* Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

**KnowYourCustomerCheckType <KnowYourCstmrChckTp>** contains one of the following elements (see "KYCCheckType1Choice" on page 1864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.24.10.3.2.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

*Presence:* [0..1]

*Definition:* Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

**KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>** contains the following elements (see "DataBaseCheck1" on page 1864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		1864
	Identification <Id>	[1..1]	Text		1864

#### 65.1.24.10.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

*Presence:* [0..1]

*Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

*Impacted by:* C25 "OwnershipBeneficiaryRateRule"

**OwnershipBeneficiaryRate <OwnrshBnfcryRate>** contains the following elements (see "OwnershipBeneficiaryRate1" on page 1863 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		1863
	Fraction <Frctn>	[0..1]	Text		1863

#### Constraints

- **OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

#### 65.1.24.10.5 ClientIdentification <ClntrId>

*Presence:* [0..1]

*Definition:* Unique identification, as assigned by an organisation, to unambiguously identify a party.

*Datatype:* "Max35Text" on page 2536



**65.1.24.10.6 FiscalExemption <FscIXmptn>***Presence:* [0..1]*Definition:* Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.10.7 SignatoryRightIndicator <SgntryRghtInd>***Presence:* [0..1]*Definition:* Indicates whether the signature of the account owner is required to authorise transactions on the account.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.10.8 MiFIDClassification <MiFIDClssfctn>***Presence:* [0..1]*Definition:* Details about the MiFID classification of the account owner.**MiFIDClassification <MiFIDClssfctn>** contains the following elements (see ["MiFIDClassification1"](#) on page 1735 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1735
	Narrative <Nrtrv>	[0..1]	Text		1735

**65.1.24.10.9 Notification <Ntfctn>***Presence:* [0..\*]*Definition:* Type of information that must be provided to the account holder.**Notification <Ntfctn>** contains the following elements (see ["Notification2"](#) on page 1676 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1676
	Required <Reqrd>	[1..1]	Indicator		1676
	DistributionType <DstrbtnTp>	[0..1]	±		1676

**65.1.24.10.10 FATCAFormType <FATCAFormTp>***Presence:* [0..\*]*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

**FATCAFormType <FATCAFormTp>** contains one of the following elements (see "FATCAForm1Choice" on page 1692 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1692
Or}	Proprietary <Prtry>	[1..1]	±		1693

#### 65.1.24.10.11 FATCAStatus <FATCASts>

*Presence:* [0..\*]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

**FATCAStatus <FATCASts>** contains the following elements (see "FATCAStatus2" on page 1860 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1860
{Or	Code <Cd>	[1..1]	CodeSet		1861
Or}	Proprietary <Prtry>	[1..1]	±		1861
	Source <Src>	[0..1]			1862
{Or	Code <Cd>	[1..1]	CodeSet		1862
Or}	Proprietary <Prtry>	[1..1]	±		1862

#### 65.1.24.10.12 FATCAReportingDate <FATCARptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2521

#### 65.1.24.10.13 CRSFormType <CRSFormTp>

*Presence:* [0..\*]

*Definition:* Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

**CRSFormType <CRSFormTp>** contains one of the following elements (see "CRSForm1Choice" on page 1859 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860

#### 65.1.24.10.14 CRSStatus <CRSSts>

*Presence:* [0..\*]

*Definition:* Common Reporting Standard (CRS) status of the investor or account owner.

**CRSStatus <CRSSts>** contains the following elements (see "[CRSStatus4](#)" on page 1856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1856
{Or	Code <Cd>	[1..1]	CodeSet		1857
Or}	Proprietary <Prtry>	[1..1]	±		1858
	Source <Src>	[0..1]			1858
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	1859

#### 65.1.24.10.15 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.24.10.16 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following elements (see "[GenericIdentification82](#)" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IsseDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

**65.1.24.10.17 TaxExemption <TaxXmptn>***Presence:* [0..1]*Definition:* Tax advantage specific to the account party.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2269 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

**65.1.24.10.18 TaxReporting <TaxRptg>***Presence:* [0..\*]*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.24.10.19 Language <Lang>

*Presence:* [0..1]

*Definition:* Language in which the organisation or person communicates.

*Impacted by:* [C34 "ValidationByTable"](#)

*Datatype:* ["LanguageCode"](#) on page 2465

**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**65.1.24.10.20 MailType <MailTp>**

*Presence:* [0..1]

*Definition:* Method used for postal mailing.

**MailType <MailTp>** contains one of the following elements (see "[MailType1Choice](#)" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1856

**65.1.24.10.21 CountryAndResidentialStatus <CtryAndResdtlSts>**

*Presence:* [0..1]

*Definition:* Country and residential status of the organisation or individual person.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "[CountryAndResidentialStatusType2](#)" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1855
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		1855

**65.1.24.10.22 MonetaryWealth <MntryWlth>**

*Presence:* [0..1]

*Definition:* Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

**MonetaryWealth <MntryWlth>** contains the following elements (see "[DateAndAmount1](#)" on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

**65.1.24.10.23 EquityValue <EqtyVal>**

*Presence:* [0..1]

*Definition:* Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

**EquityValue <EqtyVal>** contains the following elements (see ["DateAndAmount1"](#) on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

#### 65.1.24.10.24 WorkingCapital <WorkgCptl>

*Presence:* [0..1]

*Definition:* Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

**WorkingCapital <WorkgCptl>** contains the following elements (see ["DateAndAmount1"](#) on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

#### 65.1.24.10.25 CompanyLink <CpnyLk>

*Presence:* [0..1]

*Definition:* Account owner's connection with the trading party or broker.

**CompanyLink <CpnyLk>** contains one of the following elements (see ["CompanyLink1Choice"](#) on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1854
Or}	Proprietary <Prtry>	[1..1]	±		1854

#### 65.1.24.10.26 ElectronicMailingServiceReference <ElctrncMlngSvcRef>

*Presence:* [0..1]

*Definition:* Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

*Datatype:* ["Max350Text"](#) on page 2536

#### 65.1.24.10.27 PrimaryCommunicationAddress <PmryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.24.10.28 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.24.10.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

*Presence:* [0..1]

*Definition:* Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.



**AdditionalRegulatoryInformation <AddtlRgltryInf>** contains the following elements (see "RegulatoryInformation1" on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		1853
	Branch <Brnch>	[0..1]	Text		1853
	Group <Grp>	[0..1]	Text		1853
	Other <Othr>	[0..1]	Text		1853

#### 65.1.24.10.30 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see "AccountingStatus1Choice" on page 2186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

#### 65.1.24.10.31 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation13](#)" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

#### 65.1.24.10.32 ControllingParty <CtrlgPty>

*Presence:* [0..1]

*Definition:* Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.11 InvestmentAccount75

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountStatusUpdateInstruction <AcctStsUpdInstr>	[0..1]	±		1440
	Name <Nm>	[0..1]	Text		1441
	Designation <Dsgnt>	[0..1]	Text		1441
	Type <Tp>	[0..1]	±		1441
	OwnershipType <OwnrshTp>	[0..1]	±		1441
	TaxExemption <TaxXmptn>	[0..1]	±		1442
	StatementFrequency <StmtFrqcy>	[0..1]	±		1442
	ReferenceCurrency <RefCcy>	[0..1]	CodeSet	C2	1442
	Language <Lang>	[0..1]	CodeSet	C34	1443
	IncomePreference <IncmPref>	[0..1]	CodeSet		1443
	ReinvestmentDetails <RinvstmtDtls>	[0..*]	±		1443
	TaxWithholdingMethod <TaxWhldgMtd>	[0..1]	CodeSet		1443
	TaxReporting <TaxRptg>	[0..*]	±		1444
	LetterIntentDetails <LtrInttDtls>	[0..1]	±		1445
	AccumulationRightReference <AcmltnRghtRef>	[0..1]	Text		1446
	RequiredSignatoriesNumber <ReqrdSgntriesNb>	[0..1]	Quantity		1446
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1446
	ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>	[0..*]			1446
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1446
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1447
	RoundingDetails <RndgDtls>	[0..1]	±		1448
	AccountServicer <AcctSvcr>	[0..1]	±		1448
	BlockedStatus <BlckdSts>	[0..1]	±		1448
	AccountUsageType <AcctUsgTp>	[0..1]	±		1449
	ForeignStatusCertification <FrgnStsCertfctn>	[0..1]	CodeSet		1449
	AccountSignatureDateTime <AcctSgntrDtTm>	[0..1]	±		1449
	TransactionChannelType <TxChanITp>	[0..1]	±		1450
	InvestmentAccountCategory <InvstmtAcctCtgy>	[0..1]	±		1450
	Pledging <Pldg>	[0..1]	CodeSet		1450
	Collateral <Coll>	[0..1]	CodeSet		1450
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1451

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>	[0..1]	±		1451
	AccountingStatus <AcctgSts>	[0..1]	±		1451
	OpeningDate <OpngDt>	[0..1]	±		1452
	ClosingDate <ClsgDt>	[0..1]	±		1452
	NegativeIndicator <Neglnd>	[0..1]	Indicator		1452
	ProcessingOrder <PrcgOrdr>	[0..1]	CodeSet		1452
	Liability <Lblty>	[0..1]	±		1452
	ModifiedInvestorProfile <ModfdInvstrPrfl>	[0..*]			1453
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1453
	InvestorProfile <InvstrPrfl>	[1..1]	±		1453
	FiscalYear <Fsclyr>	[0..1]	±		1454

### Constraints

- **AccountElementRule**

One of the elements (AccountStatusUpdateInstruction, Name, Designation, Type, OwnershipType, TaxExemption, StatementFrequency, ReferenceCurrency, Language, IncomePreference, ReinvestmentDetails, TaxWithholdingMethod, TaxReporting, LetterIntentDetails, AccumulationRightReference, RequiredSignatoriesNumber, FundFamilyName, ModifiedFinancialInstrumentDetails, RoundingDetails, Account Servicer, BlockedStatus, AccountUsageType, ForeignStatusCertification, AccountSignatureDateTime, TransactionChannelType, InvestmentAccountCategory, Pledging, Collateral, ThirdPartyRights, PowerOfAttorneyLevelOfControl, AccountingStatus, OpeningDate, ClosingDate, NegativeIndicator, ProcessingOrder, Liability, ModifiedInvestorProfile, FiscalYear) must be present.

- **FinancialInstrumentDetailsGuideline**

ModifiedFinancialInstrumentDetails/FinancialInstrumentDetails may be present if a single investment fund is associated to the investment account. If several investment funds are associated to the investment account, the FundFamilyName only should be specified.

- **IncomePreferenceReinvestmentRule**

If IncomePreference is CASH (Cash), then ReinvestmentDetails is not allowed.

On Condition

/IncomePreference is equal to value 'Cash'

Following Must be True

/ReinvestmentDetails[\*] Must be absent

- **ReinvestmentPercentageRule**

Sum of all occurrences of ReinvestmentDetails/ReinvestmentPercentage must not be greater than 100.

#### 65.1.24.11.1 AccountStatusUpdateInstruction <AcctStsUpdInstr>

*Presence:* [0..1]

*Definition:* Change of account status is instructed.

**AccountStatusUpdateInstruction <AcctStsUpdInstr>** contains the following elements (see "AccountStatusUpdateInstruction1" on page 2241 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			2241
{Or	Code <Cd>	[1..1]	CodeSet		2242
Or}	Proprietary <Prtry>	[1..1]	±		2242
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			2242
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2242
Or}	Reason <Rsn>	[1..*]		C27	2243
	Code <Cd>	[0..1]			2243
{Or	Code <Cd>	[1..1]	CodeSet		2243
Or}	Proprietary <Prtry>	[1..1]	±		2243
	AdditionalInformation <AddtlInf>	[0..1]	Text		2244

#### 65.1.24.11.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.11.3 Designation <Dsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.11.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of account.

**Type <Tp>** contains one of the following elements (see "AccountType2Choice" on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.24.11.5 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Ownership status of the account, for example, joint owners.

**OwnershipType <OwnrshTp>** contains one of the following elements (see "[OwnershipType2Choice](#)" on page 1487 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1487
Or}	Proprietary <Prtry>	[1..1]	±		1488

#### 65.1.24.11.6 TaxExemption <TaxXmptn>

*Presence:* [0..1]

*Definition:* Tax advantage specific to the account.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2269 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

#### 65.1.24.11.7 StatementFrequency <StmntFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which a statement is issued.

**StatementFrequency <StmntFrqcy>** contains one of the following elements (see "[StatementFrequencyReason2Choice](#)" on page 1344 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1344
Or}	Proprietary <Prtry>	[1..1]	±		1345

#### 65.1.24.11.8 ReferenceCurrency <RefCcy>

*Presence:* [0..1]

*Definition:* Currency chosen for reporting purposes by the account owner in agreement with the account servicer.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.24.11.9 Language <Lang>

*Presence:* [0..1]

*Definition:* Language for all communication concerning the account.

*Impacted by:* C34 "ValidationByTable"

*Datatype:* "LanguageCode" on page 2465

##### Constraints

- **ValidationByTable**

Must be a valid terrestrial language.

#### 65.1.24.11.10 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.24.11.11 ReinvestmentDetails <RinvstmtDtls>

*Presence:* [0..\*]

*Definition:* Specifies, for income on the fund or security that is to be reinvested, parameters for the reinvestment. If the reinvestment percentage is less than one hundred percent, the remaining percentage will be invested according to the investor's or account owner's subsequent instructions.

**ReinvestmentDetails <RinvstmtDtls>** contains the following elements (see "Reinvestment4" on page 1481 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1482
	RequestedNAVCurrency <ReqdNAVVCcy>	[0..1]	CodeSet	C2	1483
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1483

#### 65.1.24.11.12 TaxWithholdingMethod <TaxWhldgMtd>

*Presence:* [0..1]

*Definition:* Method by which the tax (withholding tax) is to be processed, that is, either withheld at source or tax information is reported to tax authorities or tax information is reported due to the provision of a tax certificate.

*Datatype:* "TaxWithholdingMethod3Code" on page 2510

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

#### 65.1.24.11.13 TaxReporting <TaxRptg>

*Presence:* [0..\*]

*Definition:* Details for the reporting of tax, for example, the country of taxation.



**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrid>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.24.11.14 LetterIntentDetails <LtrInttDtls>

*Presence:* [0..1]

*Definition:* Details of the letter of intent.

**LetterIntentDetails <LtrInttDtls>** contains the following elements (see "LetterIntent1" on page 1735 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1736
	Amount <Amt>	[0..1]	Amount	C2	1736
	StartDate <StartDt>	[0..1]	Date		1736
	EndDate <EndDt>	[0..1]	Date		1736

#### 65.1.24.11.15 AccumulationRightReference <AcmltnRghtRef>

*Presence:* [0..1]

*Definition:* Reference of an accumulation rights program, in which sales commissions are based on a customer's present purchases of shares and the aggregate quantity previously purchased by the customer. An accumulation rights program is mainly used in the US market.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.11.16 RequiredSignatoriesNumber <ReqrSgntriesNb>

*Presence:* [0..1]

*Definition:* Number of account owners or related parties required to authorise transactions on the account.

*Datatype:* "Number" on page 2533

#### 65.1.24.11.17 FundFamilyName <FndFmlyNm>

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2536

#### 65.1.24.11.18 ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>

*Presence:* [0..\*]

*Definition:* Detailed information about the financial instrument associated to the account that is to be modified or deleted.

**ModifiedFinancialInstrumentDetails <ModfdFinInstrmDtls>** contains the following **ModificationScope42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1446
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1447

##### 65.1.24.11.18.1 ModificationScopeIndication <ModScplndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification2Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.24.11.18.2 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Detailed information about the investment fund or security associated to the account.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.24.11.19 RoundingDetails <RndgDtIs>

*Presence:* [0..1]

*Definition:* Parameters to be applied on deal amount for orders when the amount is a fractional number.

**RoundingDetails <RndgDtIs>** contains the following elements (see "[RoundingParameters1](#)" on page 1010 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RoundingModulus <RndgMdlus>	[0..1]	Quantity		1010
	RoundingDirection <RndgDrctn>	[1..1]	CodeSet		1010

#### 65.1.24.11.20 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.24.11.21 BlockedStatus <BlckdSts>

*Presence:* [0..1]

*Definition:* Specifies the account is blocked and other factors for the blocked account.

**BlockedStatus <BlckdSts>** contains one of the following elements (see "BlockedStatusReason2Choice" on page 2262 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2262
Or}	Reason <Rsn>	[1..*]			2263
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266

#### 65.1.24.11.22 AccountUsageType <AcctUsgTp>

*Presence:* [0..1]

*Definition:* Specifies the type of usage of the account.

**AccountUsageType <AcctUsgTp>** contains one of the following elements (see "AccountUsageType2Choice" on page 1486 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1487

#### 65.1.24.11.23 ForeignStatusCertification <FrgnStsCertfctn>

*Presence:* [0..1]

*Definition:* Specifies if documentary evidence has been provided for the foreign resident.

*Datatype:* "Provided1Code" on page 2481

CodeName	Name	Definition
NPRO	NotProvided	Not provided.
PROV	Provided	Provided.

#### 65.1.24.11.24 AccountSignatureDateTime <AcctSgntrDtTm>

*Presence:* [0..1]

*Definition:* Date the investor or account owner signs the open account form.

**AccountSignatureDateTime <AcctSgntrDtTm>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.24.11.25 TransactionChannelType <TxChanlTp>

*Presence:* [0..1]

*Definition:* Means by which the investor or account owner submits the open account form.

**TransactionChannelType <TxChanlTp>** contains one of the following elements (see ["TransactionChannelType1Choice"](#) on page 1736 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

#### 65.1.24.11.26 InvestmentAccountCategory <InvstmtAcctCtgy>

*Presence:* [0..1]

*Definition:* Specifies the category of the account.

**InvestmentAccountCategory <InvstmtAcctCtgy>** contains one of the following elements (see ["InvestmentAccountCategory1Choice"](#) on page 1366 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1366
Or}	Proprietary <Prtry>	[1..1]	±		1367

#### 65.1.24.11.27 Pledging <Pldgg>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are eligible for pledging.

*Datatype:* ["Eligible1Code"](#) on page 2436

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 65.1.24.11.28 Collateral <Coll>

*Presence:* [0..1]

*Definition:* Specifies whether the holdings in the account are used as collateral.

*Datatype:* ["Collateral1Code"](#) on page 2426

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 65.1.24.11.29 ThirdPartyRights <ThrdPtyRghts>

*Presence:* [0..1]

*Definition:* Details of third party rights.

**ThirdPartyRights <ThrdPtyRghts>** contains the following elements (see ["ThirdPartyRights2"](#) on page 1483 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1483
	DateTime <DtTm>	[0..1]	DateTime		1484
	Holder <Hldr>	[0..1]	±		1484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1484
	Amount <Amt>	[0..1]	Amount	C2, C10	1484
	Description <Desc>	[0..1]	Text		1484

#### 65.1.24.11.30 PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>

*Presence:* [0..1]

*Definition:* Functionality permitted to a third party in the actions that may be taken on an account on behalf of the investor.

**PowerOfAttorneyLevelOfControl <PwrOfAttnyLvOfCtrl>** contains one of the following elements (see ["LevelOfControl1Choice"](#) on page 1690 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1690

#### 65.1.24.11.31 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see ["AccountingStatus1Choice"](#) on page 2186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

**65.1.24.11.32 OpeningDate <OpngDt>***Presence:* [0..1]*Definition:* Legal opening date for the account.**OpeningDate <OpngDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.11.33 ClosingDate <ClsgDt>***Presence:* [0..1]*Definition:* Legal closing date for the account.**ClosingDate <ClsgDt>** contains one of the following elements (see ["DateAndDateTime1Choice"](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.24.11.34 NegativeIndicator <NegInd>***Presence:* [0..1]*Definition:* Indicates whether the account can hold a negative position in a security.*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.24.11.35 ProcessingOrder <PrcgOrdr>***Presence:* [0..1]*Definition:* Order in which securities are moved from the account.*Datatype:* ["PositionEffect3Code"](#) on page 2479

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**65.1.24.11.36 Liability <Lbly>***Presence:* [0..1]



*Definition:* Specifies whether the investor assumes responsibility for the liability.

**Liability <Lbly>** contains one of the following elements (see "Liability1Choice" on page 1689 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1689
Or}	Proprietary <Prtry>	[1..1]	±		1690

#### 65.1.24.11.37 ModifiedInvestorProfile <ModfdInvstrPrfl>

*Presence:* [0..\*]

*Definition:* Information related to the investor profile to be inserted, updated or deleted.

**ModifiedInvestorProfile <ModfdInvstrPrfl>** contains the following **ModificationScope46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1453
	InvestorProfile <InvstrPrfl>	[1..1]	±		1453

##### 65.1.24.11.37.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

##### 65.1.24.11.37.2 InvestorProfile <InvstrPrfl>

*Presence:* [1..1]

*Definition:* Information used to determine fees and types of operations that can be carried out on the account.

**InvestorProfile <InvstrPrfl>** contains the following elements (see "InvestorProfile2" on page 1664 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1665
{Or	Code <Cd>	[1..1]	CodeSet		1666
Or}	Proprietary <Prtry>	[1..1]	±		1666
	Status <Sts>	[0..1]			1667
{Or	Code <Cd>	[1..1]	CodeSet		1667
Or}	Proprietary <Prtry>	[1..1]	±		1667
	Treasury <Trsr>	[0..1]			1668
	Date <Dt>	[1..1]	Date		1668
	TraderType <TradrTp>	[1..1]			1668
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669
	Rate <Rate>	[1..1]	Rate		1669
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1669
	Date <Dt>	[0..1]	Date		1669
	SettlementFrequency <SttlmFrqcy>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670
	ConsolidationType <CnsltdtnTp>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671
	MarketMaker <MktMakr>	[0..1]			1671
	ContractPeriod <CtrctPrd>	[0..1]			1671
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672
	Compliance <Cmplc>	[0..1]	Indicator		1672
	MaximumSpread <MaxSprd>	[0..1]	Rate		1672
	Discount <Dscnt>	[0..1]	Rate		1672

#### 65.1.24.11.38 FiscalYear <Fsclyr>

*Presence:* [0..1]

*Definition:* Fiscal year, when not the same as the calendar year.

**FiscalYear <FscIYr>** contains one of the following elements (see "FiscalYear1Choice" on page 1147 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StartDate <StartDt>	[1..1]	Date		1147
Or}	EndDate <EndDt>	[1..1]	Date		1147

## 65.1.24.12 InvestmentAccount76

*Definition:* Information about a securities account and its characteristics.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1456
	Designation <Dsgnt>	[0..1]	Text		1456
	FundType <FndTp>	[0..1]	Text		1456
	FundFamilyName <FndFmlyNm>	[0..1]	Text		1456
	SecurityDetails <SctyDtls>	[0..1]		C15	1456
	Identification <Id>	[1..1]	±		1457
	Name <Nm>	[0..1]	Text		1458
	ShortName <ShrtNm>	[0..1]	Text		1458
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1458
	ClassType <ClsTp>	[0..1]	Text		1459
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1459
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1459
	ProductGroup <PdctGrp>	[0..1]	Text		1459
	AccountOwner <AcctOwnr>	[0..1]			1459
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1460
{Or	IdentificationNumber <IdNb>	[1..1]	±		1460
Or}	PersonName <PrsnNm>	[1..1]	±		1460
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1461
	Intermediary <Intrmy>	[0..*]	±		1461
	AccountServicer <AcctSvcr>	[0..1]	±		1462

**Constraints**

- **AccountDataElementRule**

One of the elements (Name, Designation, FundType, FundFamilyName, SecurityDetails, AccountOwner, Intermediary, Account Servicer) must be present.

**65.1.24.12.1 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

**65.1.24.12.2 Designation <Dsgnt>**

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

*Datatype:* "Max35Text" on page 2536

**65.1.24.12.3 FundType <FndTp>**

*Presence:* [0..1]

*Definition:* Legal form of the fund, for example, UCITS, SICAV, OEIC, Unit Trust, and FCP.

*Datatype:* "Max35Text" on page 2536

**65.1.24.12.4 FundFamilyName <FndFmlyNm>**

*Presence:* [0..1]

*Definition:* Name of the investment fund family.

*Datatype:* "Max350Text" on page 2536

**65.1.24.12.5 SecurityDetails <SctyDtls>**

*Presence:* [0..1]

*Definition:* Detailed information about the investment fund associated to the account.

*Impacted by:* C15 "IdentificationGuideline"

**SecurityDetails <SctyDtls>** contains the following **FinancialInstrument55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1457
	Name <Nm>	[0..1]	Text		1458
	ShortName <ShrtNm>	[0..1]	Text		1458
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1458
	ClassType <ClsTp>	[0..1]	Text		1459
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1459
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1459
	ProductGroup <PdctGrp>	[0..1]	Text		1459

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.24.12.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the security by an ISIN.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.24.12.5.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.24.12.5.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.12.5.4 SupplementaryIdentification <SplmtryId>

*Presence:* [0..1]

*Definition:* Additional information about the financial instrument to help identify the instrument.

*Datatype:* "Max35Text" on page 2536

**65.1.24.12.5.5 ClassType <ClsTp>***Presence:* [0..1]

*Definition:* Features of units offered by the fund. For example, a unit may have a specific load structure, for example, front end or back end, an income policy, for example, pay out or accumulate, or a trailer policy, for example, with or without. Fund classes are typically denoted by a single character, for example, 'Class A', 'Class 2'.

*Datatype:* "Max35Text" on page 2536**65.1.24.12.5.6 SecuritiesForm <SctiesForm>***Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, for example, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.24.12.5.7 DistributionPolicy <DstrbtnPlcy>***Presence:* [0..1]

*Definition:* Income policy relating to the class type, that is, if income is paid out or retained in the fund.

*Datatype:* "DistributionPolicy1Code" on page 2435

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

**65.1.24.12.5.8 ProductGroup <PdctGrp>***Presence:* [0..1]

*Definition:* Company specific description of a group of funds.

*Datatype:* "Max140Text" on page 2535**65.1.24.12.6 AccountOwner <AcctOwnr>***Presence:* [0..1]

*Definition:* Owner of the account.

**AccountOwner <AcctOwnr>** contains one of the following **AccountOwner3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualOwnerIdentification <IndvOwnrId>	[1..1]			1460
{Or	IdentificationNumber <IdNb>	[1..1]	±		1460
Or}	PersonName <PrsnNm>	[1..1]	±		1460
Or}	OrganisationOwnerIdentification <OrgOwnrId>	[1..1]	±	C21	1461

#### 65.1.24.12.6.1 IndividualOwnerIdentification <IndvOwnrId>

*Presence:* [1..1]

*Definition:* Identification of the individual person that legally owns the account.

**IndividualOwnerIdentification <IndvOwnrId>** contains one of the following **IndividualPersonIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IdentificationNumber <IdNb>	[1..1]	±		1460
Or}	PersonName <PrsnNm>	[1..1]	±		1460

#### 65.1.24.12.6.1.1 IdentificationNumber <IdNb>

*Presence:* [1..1]

*Definition:* Identification of the person that owns the account.

**IdentificationNumber <IdNb>** contains the following elements (see "[GenericIdentification81](#)" on page 1357 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1357
	IdentificationType <IdTp>	[1..1]			1357
{Or	Code <Cd>	[1..1]	CodeSet		1357
Or}	Proprietary <Prtry>	[1..1]	±		1358

#### 65.1.24.12.6.1.2 PersonName <PrsnNm>

*Presence:* [1..1]

*Definition:* Name of the person that owns the account.



**PersonName <PrsnNm>** contains the following elements (see "IndividualPerson35" on page 2041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2041
	MiddleName <MddlNm>	[0..1]	Text		2041
	Name <Nm>	[1..1]	Text		2041
	Gender <Gndr>	[0..1]	CodeSet		2041
	BirthDate <BirthDt>	[0..1]	Date		2042

#### 65.1.24.12.6.2 OrganisationOwnerIdentification <OrgOwnrld>

*Presence:* [1..1]

*Definition:* Identification of the organisation that legally owns the account.

*Impacted by:* C21 "OrganisationIdentificationRule"

**OrganisationOwnerIdentification <OrgOwnrld>** contains the following elements (see "PartyIdentification220" on page 1757 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1758
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1758
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1759
Or	NameAndAddress <NmAndAdr>	[1..1]			1759
	Name <Nm>	[1..1]	Text		1759
	PostalAddress <PstlAdr>	[0..1]	±	C23	1759
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1760
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1760
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1761

#### Constraints

- **OrganisationIdentificationRule**

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

/Identification Must be present

Or /LegalEntityIdentifier Must be present

#### 65.1.24.12.7 Intermediary <Intrmy>

*Presence:* [0..\*]

*Definition:* Intermediary or other party related to the management of the account.

**Intermediary <Intrmy>** contains the following elements (see "Intermediary47" on page 1851 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </d>	[1..1]	±		1852
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1852
	Account <Acct>	[0..1]			1852
	Identification </d>	[0..1]	Text		1852
	AccountServicer <AcctSvcr>	[1..1]	±		1852

#### 65.1.24.12.8 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.24.13 InvestmentAccountOwnershipInformation16

*Definition:* Characteristics of the ownership of a securities account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLv>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIXmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.24.13.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Information about the organisation or individual person.

**Party <Pty>** contains one of the following **Party47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465

##### 65.1.24.13.1.1 Organisation <Org>

*Presence:* [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

*Impacted by:* C24 "OrganisationElementRule"

**Organisation <Org>** contains the following elements (see "Organisation39" on page 1761 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1761
	ShortName <ShrtNm>	[0..1]	Text		1762
	Identification <Id>	[0..1]			1762
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1762
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1762
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1762
	Purpose <Purp>	[0..1]	Text		1763
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1763
	RegistrationDate <RegnDt>	[0..1]	Date		1763
	PostalAddress <PstlAdr>	[0..10]	±	C23	1763
	TypeOfOrganisation <TpOfOrg>	[0..1]			1764
{Or	Code <Cd>	[1..1]	CodeSet		1765
Or}	Proprietary <Prtry>	[1..1]	±		1765
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1765

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

#### 65.1.24.13.1.2 IndividualPerson <IndvPrsn>

*Presence:* [1..1]

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

**IndividualPerson <IndvPrsn>** contains the following elements (see "IndividualPerson37" on page 2042 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2044
{Or	Code <Cd>	[1..1]	CodeSet		2044
Or}	Proprietary <Prtry>	[1..1]	±		2044
	GivenName <GvnNm>	[0..1]	Text		2045
	MiddleName <MddlNm>	[0..1]	Text		2045
	Name <Nm>	[1..1]	Text		2045
	NameSuffix <NmSfx>	[0..1]	Text		2045
	Gender <Gndr>	[0..1]	CodeSet		2045
	BirthDate <BirthDt>	[0..1]	Date		2045
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2046
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2046
	CityOfBirth <CityOfBirth>	[0..1]	Text		2046
	Profession <Prfssn>	[0..1]	Text		2046
	PostalAddress <PstlAdr>	[1..10]	±	C23	2046
	Citizenship <Ctznsh>	[0..3]			2047
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2048
	MinorIndicator <MnrInd>	[1..1]	Indicator		2048
	EmployingCompany <EmplngCpny>	[0..1]	Text		2048
	BusinessFunction <BizFctn>	[0..1]	Text		2048
	PoliticallyExposedPerson <PltclyXpsdPrsn>	[0..1]		C29	2048
	PoliticallyExposedPersonType <PltclyXpsdPrsnTp>	[1..1]			2049
{Or	Code <Cd>	[1..1]	CodeSet		2049
Or}	Proprietary <Prtry>	[1..1]	±		2050
	PoliticallyExposedPersonStatus <PltclyXpsdPrsnSts>	[0..1]			2050
{Or	Code <Cd>	[1..1]	CodeSet		2050
Or}	Proprietary <Prtry>	[1..1]	±		2051
	DeathDate <DthDt>	[0..1]	Date		2051
	CivilStatus <CvlSts>	[0..1]			2051
{Or	Code <Cd>	[1..1]	CodeSet		2051
Or}	Proprietary <Prtry>	[1..1]	±		2052

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EducationLevel <EdctnLvl>	[0..1]	Text		2052
	FamilyInformation <FmlyInf>	[0..1]			2052
	NameOfFather <NmOfFthr>	[0..1]	Text		2052
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2053
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2053
	GDPRData <GDPRData>	[0..*]			2053
	ConsentType <CnsntTp>	[1..1]			2053
{Or	Code <Cd>	[1..1]	CodeSet		2053
Or}	Proprietary <Prtry>	[1..1]	±		2054
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2054
	ConsentDate <CnsntDt>	[1..1]	Date		2054

#### 65.1.24.13.2 MoneyLaunderingCheck <MnyLndrgChck>

*Presence:* [0..1]

*Definition:* Status of an identity check to prevent money laundering. This includes the counter-terrorism check.

**MoneyLaunderingCheck <MnyLndrgChck>** contains one of the following elements (see "MoneyLaunderingCheck1Choice" on page 1910 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1911
Or}	Proprietary <Prtry>	[1..1]	±		1911

#### 65.1.24.13.3 InvestorProfileValidation <InvstrPrflVldtn>

*Presence:* [0..\*]

*Definition:* Information to support Know Your Customer (KYC) processes.

**InvestorProfileValidation <InvstrPrfIVldtn>** contains the following **PartyProfileInformation5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLv/>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471

#### 65.1.24.13.3.1 CertificationIndicator <CertfctnInd>

*Presence:* [0..1]

*Definition:* Indicates whether the certificate type has been obtained and verified.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.13.3.2 ValidatingParty <VldtngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who validated the document.

*Datatype:* "Max140Text" on page 2535

#### 65.1.24.13.3.3 CheckingParty <ChckngPty>

*Presence:* [0..1]

*Definition:* Identification of the person who checked the document.

*Datatype:* "Max140Text" on page 2535



**65.1.24.13.3.4 ResponsibleParty <RspnsblPty>***Presence:* [0..1]*Definition:* Identification of the person who is responsible for the document.*Datatype:* "Max140Text" on page 2535**65.1.24.13.3.5 CertificateType <CertTp>***Presence:* [0..1]*Definition:* Type of certificate.**CertificateType <CertTp>** contains one of the following elements (see "CertificationType1Choice" on page 1866 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1866
Or}	Proprietary <Prtry>	[1..1]	±		1866

**65.1.24.13.3.6 CheckingDate <ChckngDt>***Presence:* [0..1]*Definition:* Date at which the certification check has been performed.*Datatype:* "ISODate" on page 2521**65.1.24.13.3.7 CheckingFrequency <ChckngFrqcy>***Presence:* [0..1]*Definition:* Specifies how frequently the check is performed.*Datatype:* "EventFrequency1Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.

CodeName	Name	Definition
ONDE	OnDemand	Event takes place on demand.

#### 65.1.24.13.3.8 NextRevisionDate <NxtRvsnDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the next certification check will be performed.

*Datatype:* "ISODate" on page 2521

#### 65.1.24.13.3.9 SalaryRange <SlryRg>

*Presence:* [0..1]

*Definition:* Limits between which a person's salary is estimated.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.13.3.10 SourceOfWealth <SrcOfWlth>

*Presence:* [0..1]

*Definition:* Indicates the main source of revenue.

*Datatype:* "Max140Text" on page 2535

#### 65.1.24.13.3.11 CustomerConductClassification <CstmrCndctClssfctn>

*Presence:* [0..1]

*Definition:* Specifies an assessment of the customer's behaviour at the time of the account opening application.

**CustomerConductClassification <CstmrCndctClssfctn>** contains one of the following elements (see "CustomerConductClassification1Choice" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 65.1.24.13.3.12 RiskLevel <RskLvl>

*Presence:* [0..1]

*Definition:* Specifies the customer's money laundering risk.

**RiskLevel <RskLvl>** contains one of the following elements (see "RiskLevel2Choice" on page 1865 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.24.13.3.13 KnowYourCustomerCheckType <KnowYourCstmrChckTp>

*Presence:* [0..1]

*Definition:* Specifies the type of due diligence checks carried out on the investor or account owner. For definitions of ordinary, simple and enhanced know your customer checks, local market regulations should be consulted.

**KnowYourCustomerCheckType <KnowYourCstmrChckTp>** contains one of the following elements (see "KYCCheckType1Choice" on page 1864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.24.13.3.14 KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>

*Presence:* [0..1]

*Definition:* Specifies whether a customer has been checked in a Know Your Customer (KYC) database.

**KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>** contains the following elements (see "DataBaseCheck1" on page 1864 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		1864
	Identification <Id>	[1..1]	Text		1864

#### 65.1.24.13.4 OwnershipBeneficiaryRate <OwnrshBnfcryRate>

*Presence:* [0..1]

*Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account. All subsequent subscriptions or purchases and or redemptions or sells will be allocated using the same percentage.

*Impacted by:* C25 "OwnershipBeneficiaryRateRule"

**OwnershipBeneficiaryRate <OwnrshBnfcryRate>** contains the following elements (see "OwnershipBeneficiaryRate1" on page 1863 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		1863
	Fraction <Frctn>	[0..1]	Text		1863

#### Constraints

- **OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

#### 65.1.24.13.5 ClientIdentification <CIntld>

*Presence:* [0..1]

*Definition:* Unique identification, as assigned by an organisation, to unambiguously identify a party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.24.13.6 FiscalExemption <FscIXmptn>

*Presence:* [0..1]

*Definition:* Indicates whether an owner of the account may benefit from a fiscal exemption or amnesty, for example, when declaring overseas investments.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.13.7 SignatoryRightIndicator <SgntryRghtInd>

*Presence:* [0..1]

*Definition:* Indicates whether the signature of the account owner is required to authorise transactions on the account.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.13.8 MiFIDClassification <MiFIDClssfctn>

*Presence:* [0..1]

*Definition:* Details about the MiFID classification of the account owner.

**MiFIDClassification <MiFIDClssfctn>** contains the following elements (see "MiFIDClassification1" on page 1735 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1735
	Narrative <Nrtrv>	[0..1]	Text		1735

#### 65.1.24.13.9 Notification <Ntfctn>

*Presence:* [0..\*]

*Definition:* Type of information that must be provided to the account holder.

**Notification <Ntfctn>** contains the following elements (see "Notification2" on page 1676 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1676
	Required <Reqrd>	[1..1]	Indicator		1676
	DistributionType <DstrbtnTp>	[0..1]	±		1676

#### 65.1.24.13.10 FATCAFormType <FATCAFormTp>

*Presence:* [0..\*]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form submitted by the investor or account owner.

**FATCAFormType <FATCAFormTp>** contains one of the following elements (see "[FATCAForm1Choice](#)" on page 1692 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1692
Or}	Proprietary <Prtry>	[1..1]	±		1693

#### 65.1.24.13.11 FATCAStatus <FATCASts>

*Presence:* [0..\*]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status of the investor or account owner.

**FATCAStatus <FATCASts>** contains the following elements (see "[FATCAStatus2](#)" on page 1860 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1860
{Or	Code <Cd>	[1..1]	CodeSet		1861
Or}	Proprietary <Prtry>	[1..1]	±		1861
	Source <Src>	[0..1]			1862
{Or	Code <Cd>	[1..1]	CodeSet		1862
Or}	Proprietary <Prtry>	[1..1]	±		1862

#### 65.1.24.13.12 FATCAReportingDate <FATCARptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.24.13.13 CRSFormType <CRSFormTp>

*Presence:* [0..\*]

*Definition:* Type of Common Reporting Standard (CRS) form submitted by the investor or account owner.

**CRSFormType <CRSFormTp>** contains one of the following elements (see "[CRSForm1Choice](#)" on page 1859 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860

#### 65.1.24.13.14 CRSStatus <CRSSts>

*Presence:* [0..\*]

*Definition:* Common Reporting Standard (CRS) status of the investor or account owner.

**CRSStatus <CRSSts>** contains the following elements (see "CRSStatus4" on page 1856 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1856
{Or	Code <Cd>	[1..1]	CodeSet		1857
Or}	Proprietary <Prtry>	[1..1]	±		1858
	Source <Src>	[0..1]			1858
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	1859

#### 65.1.24.13.15 CRSReportingDate <CRSRptgDt>

*Presence:* [0..1]

*Definition:* Date provided by the account owner to inform the account servicer of the date on which the holdings must be reported before the account is subsequently closed.

*Datatype:* "ISODate" on page 2521

#### 65.1.24.13.16 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following elements (see "GenericIdentification82" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IsseDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

**65.1.24.13.17 TaxExemption <TaxXmptn>***Presence:* [0..1]*Definition:* Tax advantage specific to the account party.

**TaxExemption <TaxXmptn>** contains one of the following elements (see "[TaxExemptionReason2Choice](#)" on page 2269 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

**65.1.24.13.18 TaxReporting <TaxRptg>***Presence:* [0..\*]*Definition:* Details for the reporting of tax, for example, the country of taxation.

**TaxReporting <TaxRptg>** contains the following elements (see "TaxReporting3" on page 2284 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.24.13.19 Language <Lang>

*Presence:* [0..1]

*Definition:* Language in which the organisation or person communicates.

*Impacted by:* C34 "ValidationByTable"

*Datatype:* "LanguageCode" on page 2465



**Constraints**

- **ValidationByTable**

Must be a valid terrestrial language.

**65.1.24.13.20 MailType <MailTp>**

*Presence:* [0..1]

*Definition:* Method used for postal mailing.

**MailType <MailTp>** contains one of the following elements (see "[MailType1Choice](#)" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1856

**65.1.24.13.21 CountryAndResidentialStatus <CtryAndResdtlSts>**

*Presence:* [0..1]

*Definition:* Country and residential status of the organisation or individual person.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "[CountryAndResidentialStatusType2](#)" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1855
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		1855

**65.1.24.13.22 MonetaryWealth <MntryWlth>**

*Presence:* [0..1]

*Definition:* Annual wealth of the individual person or share capital value of the legal entity and date on which the annual wealth of the individual person was registered or declared or the date the stock value of the organisation was registered.

**MonetaryWealth <MntryWlth>** contains the following elements (see "[DateAndAmount1](#)" on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

**65.1.24.13.23 EquityValue <EqtyVal>**

*Presence:* [0..1]

*Definition:* Amount of total assets minus liabilities of the individual person or the amount of the difference between assets and liabilities plus rights over obligations (net equity) of the organisation and the date on which the equity value was registered.

**EquityValue <EqtyVal>** contains the following elements (see ["DateAndAmount1"](#) on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

#### 65.1.24.13.24 WorkingCapital <WorkgCptl>

*Presence:* [0..1]

*Definition:* Resource or value owned or used by a third-party company and the date on which the working capital amount was registered.

**WorkingCapital <WorkgCptl>** contains the following elements (see ["DateAndAmount1"](#) on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1011
	Amount <Amt>	[1..1]	Amount	C2, C10	1011

#### 65.1.24.13.25 CompanyLink <CpnyLk>

*Presence:* [0..1]

*Definition:* Account owner's connection with the trading party or broker.

**CompanyLink <CpnyLk>** contains one of the following elements (see ["CompanyLink1Choice"](#) on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1854
Or}	Proprietary <Prtry>	[1..1]	±		1854

#### 65.1.24.13.26 ElectronicMailingServiceReference <ElctrncMlngSvcRef>

*Presence:* [0..1]

*Definition:* Reference to be specified when a letter, for example, an order confirmation, is sent by an automated mailing system.

*Datatype:* ["Max350Text"](#) on page 2536

#### 65.1.24.13.27 PrimaryCommunicationAddress <PmryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.24.13.28 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.24.13.29 AdditionalRegulatoryInformation <AddtlRgltryInf>

*Presence:* [0..1]

*Definition:* Additional regulatory information about the investor or account owner that is required in some markets to support anti-money laundering laws.

**AdditionalRegulatoryInformation <AddtlRgltryInf>** contains the following elements (see "RegulatoryInformation1" on page 1853 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		1853
	Branch <Brnch>	[0..1]	Text		1853
	Group <Grp>	[0..1]	Text		1853
	Other <Othr>	[0..1]	Text		1853

#### 65.1.24.13.30 AccountingStatus <AcctgSts>

*Presence:* [0..1]

*Definition:* Specifies if the account party is regarded as domestic or non-domestic for reporting purposes.

**AccountingStatus <AcctgSts>** contains one of the following elements (see "AccountingStatus1Choice" on page 2186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

#### 65.1.24.13.31 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation13](#)" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

#### 65.1.24.13.32 ControllingParty <CtrlgPty>

*Presence:* [0..1]

*Definition:* Party is the controlling person.

(For an Entity that is a legal person, the term "Controlling Persons" means the natural person(s) who exercises control over the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.).

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.24.14 Reinvestment4

*Definition:* Reinvestment information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C20	1482
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C2	1483
	ReinvestmentPercentage <RinvstmtPctg>	[1..1]	Rate		1483

#### 65.1.24.14.1 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund for the reinvestment.

*Impacted by:* C20 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**65.1.24.14.2 RequestedNAVCurrency <ReqdNAVCcy>**

*Presence:* [0..1]

*Definition:* Currency to be used for pricing the fund. This currency must be among the set of currencies in which the price may be expressed, as stated in the prospectus.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.24.14.3 ReinvestmentPercentage <RinvstmtPctg>**

*Presence:* [1..1]

*Definition:* Percentage of the reinvestment.

*Datatype:* "PercentageRate" on page 2534

**65.1.24.15 ThirdPartyRights2**

*Definition:* Information about third party rights.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		1483
	DateTime <DtTm>	[0..1]	DateTime		1484
	Holder <Hldr>	[0..1]	±		1484
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1484
	Amount <Amt>	[0..1]	Amount	C2, C10	1484
	Description <Desc>	[0..1]	Text		1484

**65.1.24.15.1 Type <Tp>**

*Presence:* [1..1]

*Definition:* Type of third party right.

*Datatype:* "Max35Text" on page 2536

**65.1.24.15.2 DateTime <DtTm>***Presence:* [0..1]*Definition:* Timestamp for the third party right.*Datatype:* "ISODateTime" on page 2522**65.1.24.15.3 Holder <Hldr>***Presence:* [0..1]*Definition:* Party that holds the third party right.**Holder <Hldr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

**65.1.24.15.4 LegalEntityIdentifier <LglnTtyldr>***Presence:* [0..1]*Definition:* Identification of the holder with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".*Datatype:* "LEIIdentifier" on page 2529**65.1.24.15.5 Amount <Amt>***Presence:* [0..1]*Definition:* Amount of the third party right.*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.24.15.6 Description <Desc>***Presence:* [0..1]*Definition:* Description of the third party right.



Datatype: "Max350Text" on page 2536

#### 65.1.24.16 SubAccount6

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

##### 65.1.24.16.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

Datatype: "Max35Text" on page 2536

##### 65.1.24.16.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

Datatype: "Max35Text" on page 2536

##### 65.1.24.16.3 Characteristic <Chrtc>

*Presence:* [0..1]

*Definition:* Additional properties of the account.

Datatype: "Max35Text" on page 2536

##### 65.1.24.16.4 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to be reconciled individually.

Datatype: "Max35Text" on page 2536

#### 65.1.24.17 CustomerConductClassification1Choice

*Definition:* Choice of formats for the specification of the customer conduct classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1486

#### 65.1.24.17.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Conduct type expressed as a code.

*Datatype:* "ConductClassification1Code" on page 2427

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

#### 65.1.24.17.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Conduct type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.24.18 AccountUsageType2Choice

*Definition:* Choice of formats for the specification of the type of account usage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1486
Or}	Proprietary <Prtry>	[1..1]	±		1487

#### 65.1.24.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of account usage expressed as a code.

*Datatype:* "AccountUsageType2Code" on page 2416

CodeName	Name	Definition
INVE	Investor	Investor.

CodeName	Name	Definition
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

### 65.1.24.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of account usage expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.24.19 OwnershipType2Choice

*Definition:* Choice of formats for the specification of the ownership type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1487
Or}	Proprietary <Prtry>	[1..1]	±		1488

#### 65.1.24.19.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Ownership type expressed as a code.

*Datatype:* "[AccountOwnershipType4Code](#)" on page 2413

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as

CodeName	Name	Definition
		an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

#### 65.1.24.19.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Ownership type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.24.20 InvestmentAccountType1Choice

*Definition:* Choice of formats for the specification of the investment account type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1489
Or}	Proprietary <Prtry>	[1..1]	±		1489

### 65.1.24.20.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Investment account type expressed as a code.

*Datatype:* "FundCashAccount2Code" on page 2443

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

### 65.1.24.20.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investment account type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.24.21 InvestmentAccount58

*Definition:* Account between an investor(s) and a fund manager or a fund. The account can contain holdings in any investment fund or investment fund class managed (or distributed) by the fund manager, within the same fund family.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

### 65.1.24.21.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

### 65.1.24.21.2 AccountName <AcctNm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

### 65.1.24.21.3 AccountDesignation <AcctDsgnt>

*Presence:* [0..1]

*Definition:* Supplementary registration information applying to a specific block of units for dealing and reporting purposes. The supplementary registration information may be used when all the units are registered, for example, to a funds supermarket, but holdings for each investor have to reconciled individually.

*Datatype:* "Max35Text" on page 2536

### 65.1.24.21.4 OwnerIdentification <OwnrId>

*Presence:* [0..\*]

*Definition:* Party that legally owns the account.

**OwnerIdentification <OwnrId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.24.21.5 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.24.21.6 OrderOriginatorEligibility <OrdOrgtrElgblty>

*Presence:* [0..1]

*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Datatype:* "[OrderOriginatorEligibility1Code](#)" on page 2469

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

#### 65.1.24.21.7 SubAccountDetails <SubAcctDtls>

*Presence:* [0..1]

*Definition:* Sub-account of the master or omnibus account.

**SubAccountDetails** <SubAcctDtls> contains the following elements (see "SubAccount6" on page 1485 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1485
	Name <Nm>	[0..1]	Text		1485
	Characteristic <Chrtc>	[0..1]	Text		1485
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1485

## 65.1.25 InvestmentFundCashForecast

### 65.1.25.1 Fund2

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1493
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1493
	Identification <Id>	[0..1]			1493
	Identification <Id>	[1..1]	Text		1494
	Type <Tp>	[1..1]	±		1494
	Currency <Ccy>	[0..1]	CodeSet	C3	1494
	TradeDateTime <TradDtTm>	[0..1]	±		1494
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1494
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1495
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1495
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1495
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1496
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1496
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±		1496
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±		1496
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]			1497
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1497
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1497
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1497
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1498



**Constraints**

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
    /Identification is absent
Following Must be True
    /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
    /Name is absent
Following Must be True
    /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
    /LegalEntityIdentifier is absent
Following Must be True
    /Identification Must be present
Or    /Name Must be present
```

**65.1.25.1.1 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2536

**65.1.25.1.2 LegalEntityIdentifier <LglnTtyldr>**

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2529

**65.1.25.1.3 Identification <Id>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1494
	Type <Tp>	[1..1]	±		1494

**65.1.25.1.3.1 Identification <Id>***Presence:* [1..1]*Definition:* Identification of the fund/sub fund.*Datatype:* "Max35Text" on page 2536**65.1.25.1.3.2 Type <Tp>***Presence:* [1..1]*Definition:* Identification source.**Type <Tp>** contains one of the following elements (see "IdentificationSource5Choice" on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1346
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1346

**65.1.25.1.4 Currency <Ccy>***Presence:* [0..1]*Definition:* Currency of the fund/sub fund.*Impacted by:* C3 "ActiveOrHistoricCurrency"*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.25.1.5 TradeDateTime <TradDtTm>***Presence:* [0..1]*Definition:* Date and, if required, the time, at which the price will be applied.**TradeDateTime <TradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.25.1.6 PreviousTradeDateTime <PrvsTradDtTm>***Presence:* [0..1]*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.1.7 TotalNAV <TtlNAV>

*Presence:* [0..1]

*Definition:* Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.1.8 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.1.9 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [0..1]

*Definition:* Total number of units of the fund/sub fund.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.1.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.1.11 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>

*Presence:* [0..1]

*Definition:* Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.25.1.12 CashInForecastDetails <CshInFcstDtls>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund/sub fund.

**CashInForecastDetails <CshInFcstDtls>** contains the following elements (see "[CashInOutForecast7](#)" on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1498
	Amount <Amt>	[1..1]	Amount	C3, C12	1498

#### 65.1.25.1.13 CashOutForecastDetails <CshOutFcstDtls>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund/sub fund.

**CashOutForecastDetails <CshOutFcstDtls>** contains the following elements (see "[CashInOutForecast7](#)" on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1498
	Amount <Amt>	[1..1]	Amount	C3, C12	1498

**65.1.25.1.14 NetCashForecastDetails <NetCshFcstDtls>**

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

**NetCashForecastDetails <NetCshFcstDtls>** contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1497
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1497
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1497
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1498

**65.1.25.1.14.1 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

**65.1.25.1.14.2 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.1.14.3 NetUnitsNumber <NetUnitsNb>**

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.1.14.4 FlowDirection <FlowDrctn>**

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "FlowDirectionType1Code" on page 2442

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

**65.1.25.2 CashInOutForecast7**

*Definition:* Cash movements into or out of a fund as a result of investment funds transactions, for example, subscriptions, redemptions or switches.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1498
	Amount <Amt>	[1..1]	Amount	C3, C12	1498

**65.1.25.2.1 CashSettlementDate <CshSttlmDt>**

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

**65.1.25.2.2 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Amount of the cash flow.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.3 EstimatedFundCashForecast5**

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1500
	TradeDateTime <TradDtTm>	[1..1]	±		1500
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1500
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1500
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	1501
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1501
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1502
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1502
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1502
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1502
	CurrencyStatus <CcySts>	[0..1]	±		1503
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1503
	Price <Pric>	[0..1]	±		1503
	ForeignExchangeRate <FXRate>	[0..1]	±		1503
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsTtlNAV>	[0..1]	Rate		1504
	BreakdownByParty <BrkdwnByPty>	[0..*]	±		1504
	BreakdownByCountry <BrkdwnByCtry>	[0..*]	±		1505
	BreakdownByCurrency <BrkdwnByCcy>	[0..*]	±		1506
	BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>	[0..*]	±	C17	1507
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	1508

### Constraints

- **ExceptionalCashFlowIndicatorRule**

If ExceptionalNetCashFlowIndicator is "true" or "1" (Yes), then at least one or more of the following must be present:

BreakdownByParty/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByParty/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCountry/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByCurrency/CashOutForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashInForecast/ExceptionalCashFlowIndicator, or

BreakdownByUserDefinedParameter/CashOutForecast/ExceptionalCashFlowIndicator.

#### 65.1.25.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

#### 65.1.25.3.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.3.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.3.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* [C13 "FinancialInstrumentIdentificationGuideline"](#)



**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1299 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.25.3.5 EstimatedTotalNAV <EstmtdTtlNAV>

*Presence:* [0..\*]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.3.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.3.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of investment fund class units that have been issued.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.3.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.3.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>**

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* ["PercentageRate"](#) on page 2534

**65.1.25.3.10 InvestmentCurrency <InvstmtCcy>**

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.25.3.11 CurrencyStatus <CcySts>**

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "[CurrencyDesignation1](#)" on page 1682 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

**65.1.25.3.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the estimated net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.25.3.13 Price <Pric>**

*Presence:* [0..1]

*Definition:* Price per unit of the previous trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

**65.1.25.3.14 ForeignExchangeRate <FXRate>**

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "[ForeignExchangeTerms19](#)" on page 1341 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 65.1.25.3.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssttlnav>

*Presence:* [0..1]

*Definition:* Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.25.3.16 BreakdownByParty <BrkdwnByPty>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by party.

**BreakdownByParty <BrkdwnByPty>** contains the following elements (see "BreakdownByParty3" on page 1725 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1726
	AccountIdentification <AcctId>	[0..1]	±		1727
	OwnerIdentification <OwnrId>	[0..1]	±		1727
	AccountServicer <AcctSvcr>	[0..1]	±		1727
	AdditionalParameters <AddtlParams>	[0..1]	±		1728
	CashInForecast <CshInFcst>	[0..*]		C5	1728
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1729
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1729
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1729
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1729
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1730
	AdditionalBalance <AddtlBal>	[0..1]	±		1730
	CashOutForecast <CshOutFcst>	[0..*]		C6	1730
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1731
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1731
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1732
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1732
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1732
	AdditionalBalance <AddtlBal>	[0..1]	±		1733
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1733

#### 65.1.25.3.17 BreakdownByCountry <BrkdwnByCtry>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by country.

**BreakdownByCountry <BrkdwnByCtry>** contains the following elements (see "BreakdownByCountry2" on page 1718 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1719
	CashInForecast <CshInFcst>	[0..*]		C5	1719
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1720
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1720
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1721
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1721
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1721
	AdditionalBalance <AddtlBal>	[0..1]	±		1721
	CashOutForecast <CshOutFcst>	[0..*]		C6	1722
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1723
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1723
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1723
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1723
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1723
	AdditionalBalance <AddtlBal>	[0..1]	±		1724
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1724

#### 65.1.25.3.18 BreakdownByCurrency <BrkdwnByCcy>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by currency.

**BreakdownByCurrency <BrkdwnByCcy>** contains the following elements (see "BreakdownByCurrency2" on page 1711 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1712
	CashOutForecast <CshOutFcst>	[0..*]		C6	1712
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1713
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1713
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1714
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1714
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1714
	AdditionalBalance <AddtlBal>	[0..1]	±		1714
	CashInForecast <CshInFcst>	[0..*]		C5	1715
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1716
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1716
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1716
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1716
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1716
	AdditionalBalance <AddtlBal>	[0..1]	±		1717
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1717

#### 65.1.25.3.19 BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>

*Presence:* [0..\*]

*Definition:* Estimated cash flow by a user defined parameter/s.

*Impacted by:* C17 "UserDefinedRule"

**BreakdownByUserDefinedParameter <BrkdwnByUsrDfndParam>** contains the following elements (see "BreakdownByUserDefinedParameter3" on page 1703 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1704
	AccountIdentification <AcctId>	[0..1]	±		1704
	OwnerIdentification <OwnrId>	[0..1]	±		1704
	AccountServicer <AcctSvcr>	[0..1]	±		1705
	Country <Ctry>	[0..1]	CodeSet	C11	1705
	Currency <Ccy>	[0..1]	CodeSet	C3	1705
	UserDefined <UsrDfnd>	[0..1]	±		1706
	CashInForecast <CshInFcst>	[0..*]		C5	1706
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1707
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1707
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1707
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1707
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1707
	AdditionalBalance <AddtlBal>	[0..1]	±		1708
	CashOutForecast <CshOutFcst>	[0..*]		C6	1708
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1711

#### Constraints

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

#### 65.1.25.3.20 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Estimated net cash movements per financial instrument.

*Impacted by:* C7 "AdditionalBalanceRule"



**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 65.1.25.4 FundCashForecast7

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1510
	TradeDateTime <TradDtTm>	[1..1]	±		1510
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1511
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1511
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	1512
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1512
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1512
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1513
	TotalNAVChangeRate <TtlNAVChngRate>	[0..1]	Rate		1513
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1513
	CurrencyStatus <CcySts>	[0..1]	±		1513
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1514
	Price <Pric>	[0..1]	±		1514
	ForeignExchangeRate <FXRate>	[0..1]	±		1514
	PercentageOfShareClassTotalNAV <PctgOfShrClsTtlNAV>	[0..1]	Rate		1514
	CashInForecastDetails <CshInFcstDtls>	[0..*]	±	C3	1515
	CashOutForecastDetails <CshOutFcstDtls>	[0..*]	±	C4	1515
	NetCashForecastDetails <NetCshFcstDtls>	[0..*]	±	C7	1516

### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlow Indicator is "true" or "1" (Yes), then CashInForecastDetails/ ExceptionalCashFlowIndicator and CashOutForecastDetails/ ExceptionalCashFlowIndicator must be present.

#### 65.1.25.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

#### 65.1.25.4.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price has been applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.4.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.4.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which a cash flow is related.

*Impacted by:* [C13 "FinancialInstrumentIdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see ["FinancialInstrument9"](#) on page 1299 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCcy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**65.1.25.4.5 TotalNAV <TtlNAV>**

*Presence:* [0..\*]

*Definition:* Total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.4.6 PreviousTotalNAV <PrvsTtlNAV>**

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.4.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.4.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous total number of investment fund class units that have been issued.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.4.9 TotalNAVChangeRate <TtlNAVChngRate>

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.25.4.10 InvestmentCurrency <InvstmtCcy>

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.25.4.11 CurrencyStatus <CcySts>

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "CurrencyDesignation1" on page 1682 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

#### 65.1.25.4.12 ExceptionalNetCashFlowIndicator <XcptnINetCshFlowInd>

*Presence:* [1..1]

*Definition:* Indicates whether the net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.25.4.13 Price <Pric>

*Presence:* [0..1]

*Definition:* Price per unit of the trade date.

**Price <Pric>** contains the following elements (see "UnitPrice19" on page 2104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

#### 65.1.25.4.14 ForeignExchangeRate <FXRate>

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see "ForeignExchangeTerms19" on page 1341 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 65.1.25.4.15 PercentageOfShareClassTotalNAV <PctgOfShrClsTtlnAV>

*Presence:* [0..1]

*Definition:* Net cash flow expressed as a percentage of the total NAV for the share class.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.25.4.16 CashInForecastDetails <CshInFcstDtIs>

*Presence:* [0..\*]

*Definition:* Cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* [C3 "AdditionalBalanceRule"](#)

**CashInForecastDetails <CshInFcstDtIs>** contains the following elements (see ["CashInForecast6"](#) on page 1059 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1059
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1060
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1060
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1060
	AdditionalBalance <AddtlBal>	[0..1]	±		1060

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

    /AdditionalBalance is present

Following Must be True

    /AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or     /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or     /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or     /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.25.4.17 CashOutForecastDetails <CshOutFcstDtIs>

*Presence:* [0..\*]

*Definition:* Cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* [C4 "AdditionalBalanceRule"](#)

**CashOutForecastDetails <CshOutFcstDtls>** contains the following elements (see "CashOutForecast6" on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1084
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1084
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1084
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1084
	AdditionalBalance <AddtlBal>	[0..1]	±		1085

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.25.4.18 NetCashForecastDetails <NetCshFcstDtls>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecastDetails <NetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.



On Condition  
 /AdditionalBalance is present  
 Following Must be True  
 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present  
 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 65.1.25.5 EstimatedFundCashForecast6

*Definition:* Cash movements from or to a fund as a result of investment funds transactions, eg, subscriptions or redemptions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1518
	TradeDateTime <TradDtTm>	[1..1]	±		1518
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1518
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C13	1518
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..*]	Amount	C3, C12	1519
	PreviousTotalNAV <PrvsTtlNAV>	[0..*]	Amount	C3, C12	1519
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1520
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1520
	EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>	[0..1]	Rate		1520
	InvestmentCurrency <InvstmtCcy>	[0..*]	CodeSet	C3	1520
	CurrencyStatus <CcySts>	[0..1]	±		1521
	ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>	[1..1]	Indicator		1521
	Price <Pric>	[0..1]	±		1521
	ForeignExchangeRate <FXRate>	[0..1]	±		1521
	EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClssTtlNAV>	[0..1]	Rate		1522
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±	C3	1522
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±	C4	1523
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]	±	C7	1523

#### Constraints

- **ExceptionalCashFlowIndicatorRule**

If Exceptional NetCashFlowIndicator is "true" or "1" (Yes), then either EstimatedCashInForecastDetails/ExceptionalCashFlowIndicator or

EstimatedCashOutForecastDetails/ExceptionalCashFlowIndicator must be present. Both may be present.

#### 65.1.25.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique technical identifier for an instance of a fund cash forecast within a fund cash forecast report as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

#### 65.1.25.5.2 TradeDateTime <TradDtTm>

*Presence:* [1..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.5.3 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which the price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.5.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class to which the cash flow is related.

*Impacted by:* [C13 "FinancialInstrumentIdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument9" on page 1299 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1300
	Name <Nm>	[0..1]	Text		1301
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1301
	RequestedNAVCurrency <ReqdNAVCCy>	[0..1]	CodeSet	C3	1301
	ClassType <ClsTp>	[0..1]	Text		1302
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1302
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1302
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1302

#### Constraints

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

#### 65.1.25.5.5 EstimatedTotalNAV <EstmtdTtlNAV>

*Presence:* [0..\*]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.5.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..\*]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.5.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of investment fund class units that have been issued.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.5.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.5.9 EstimatedTotalNAVChangeRate <EstmtdTtlNAVChngRate>**

*Presence:* [0..1]

*Definition:* Rate of change of the net asset value.

*Datatype:* ["PercentageRate"](#) on page 2534

**65.1.25.5.10 InvestmentCurrency <InvstmtCcy>**

*Presence:* [0..\*]

*Definition:* Currency of the investment fund class.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.25.5.11 CurrencyStatus <CcySts>**

*Presence:* [0..1]

*Definition:* Information about the designation of the share class currency, that is, whether it is for onshore or offshore purposes and other information that may be required. This is typically only required for CNY funds.

**CurrencyStatus <CcySts>** contains the following elements (see "[CurrencyDesignation1](#)" on page 1682 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

**65.1.25.5.12 ExceptionalNetCashFlowIndicator <XcptnlNetCshFlowInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the estimated net cash flow is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.25.5.13 Price <Pric>**

*Presence:* [0..1]

*Definition:* Price per unit of the previous trade date.

**Price <Pric>** contains the following elements (see "[UnitPrice19](#)" on page 2104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

**65.1.25.5.14 ForeignExchangeRate <FXRate>**

*Presence:* [0..1]

*Definition:* Foreign exchange rate.

**ForeignExchangeRate <FXRate>** contains the following elements (see ["ForeignExchangeTerms19"](#) on page 1341 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1342
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1342
	ExchangeRate <XchgRate>	[1..1]	Rate		1342

#### 65.1.25.5.15 EstimatedPercentageOfShareClassTotalNAV <EstmtdPctgOfShrClsTtlNAV>

*Presence:* [0..1]

*Definition:* Estimated net cash flow expressed as a percentage of the previous total NAV for the share class.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.25.5.16 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>

*Presence:* [0..\*]

*Definition:* Estimated cash movements into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* [C3 "AdditionalBalanceRule"](#)

**EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>** contains the following elements (see ["CashInForecast6"](#) on page 1059 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1059
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1060
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1060
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1060
	AdditionalBalance <AddtlBal>	[0..1]	±		1060

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.25.5.17 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtIs>

*Presence:* [0..\*]

*Definition:* Estimated cash movements out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* [C4 "AdditionalBalanceRule"](#)

**EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtIs>** contains the following elements (see ["CashOutForecast6"](#) on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1084
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1084
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1084
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1084
	AdditionalBalance <AddtlBal>	[0..1]	±		1085

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.25.5.18 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtIs>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

*Impacted by:* [C7 "AdditionalBalanceRule"](#)

**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following elements (see "NetCashForecast4" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 65.1.25.6 Fund1

*Definition:* Information about an investment fund.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1526
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1526
	Identification <Id>	[0..1]			1526
	Identification <Id>	[1..1]	Text		1526
	Type <Tp>	[1..1]	±		1526
	Currency <Ccy>	[0..1]	CodeSet	C3	1527
	TradeDateTime <TradDtTm>	[0..1]	±		1527
	PreviousTradeDateTime <PrvsTradDtTm>	[0..1]	±		1527
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	1528
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1528
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1528
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1529
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1529
	EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>	[0..*]	±		1529
	EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>	[0..*]	±		1529
	EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>	[0..*]			1529
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1530
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1530
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1530
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1530

## Constraints

### • FundIdentification1Rule

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

### • FundIdentification2Rule

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
```

Following Must be True  
 /Identification Must be present  
 Or /LegalEntityIdentifier Must be absent

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

On Condition  
 /LegalEntityIdentifier is absent  
 Following Must be True  
 /Identification Must be present  
 Or /Name Must be present

#### 65.1.25.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2536

#### 65.1.25.6.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.25.6.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1526
	Type <Tp>	[1..1]	±		1526

##### 65.1.25.6.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2536

##### 65.1.25.6.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1346
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1346

#### 65.1.25.6.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.25.6.5 TradeDateTime <TradDtTm>

*Presence:* [0..1]

*Definition:* Date and, if required, the time, at which the price will be applied.

**TradeDateTime <TradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.25.6.6 PreviousTradeDateTime <PrvsTradDtTm>

*Presence:* [0..1]

*Definition:* Previous date and time at which a price was applied.

**PreviousTradeDateTime <PrvsTradDtTm>** contains one of the following elements (see ["DateAndDateTimeChoice"](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.25.6.7 EstimatedTotalNAV <EstmtdTtlNAV>**

*Presence:* [0..1]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.6.8 PreviousTotalNAV <PrvsTtlNAV>**

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.6.9 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of units of the fund/sub fund.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.6.10 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see ["FinancialInstrumentQuantity1"](#) on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.6.11 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>**

*Presence:* [0..1]

*Definition:* Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.

*Datatype:* ["PercentageRate"](#) on page 2534

**65.1.25.6.12 EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>**

*Presence:* [0..\*]

*Definition:* Estimated cash movement into the fund/sub fund.

**EstimatedCashInForecastDetails <EstmtdCshInFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1498
	Amount <Amt>	[1..1]	Amount	C3, C12	1498

**65.1.25.6.13 EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>**

*Presence:* [0..\*]

*Definition:* Estimated cash movement out of the fund/sub fund.

**EstimatedCashOutForecastDetails <EstmtdCshOutFcstDtls>** contains the following elements (see ["CashInOutForecast7"](#) on page 1498 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1498
	Amount <Amt>	[1..1]	Amount	C3, C12	1498

**65.1.25.6.14 EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>**

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows.

**EstimatedNetCashForecastDetails <EstmtdNetCshFcstDtls>** contains the following **NetCashForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[0..1]	Date		1530
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1530
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1530
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1530

#### 65.1.25.6.14.1 CashSettlementDate <CshSttlmDt>

*Presence:* [0..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.25.6.14.2 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Net amount of the cash flow, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.6.14.3 NetUnitsNumber <NetUnitsNb>

*Presence:* [0..1]

*Definition:* Net amount, expressed as a number of units.

**NetUnitsNumber <NetUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.6.14.4 FlowDirection <FlowDrctn>

*Presence:* [1..1]

*Definition:* Specifies the direction of the cash flow from the perspective of the fund.

*Datatype:* "FlowDirectionType1Code" on page 2442

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

## 65.1.25.7 Fund4

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1532
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1532
	Identification <Id>	[0..1]			1532
	Identification <Id>	[1..1]	Text		1532
	Type <Tp>	[1..1]	±		1532
	Currency <Ccy>	[0..1]	CodeSet	C3	1533
	TotalNAV <TtlNAV>	[0..1]	Amount	C3, C12	1533
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1533
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		1534
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1534
	PercentageOfFundTotalNAV <PctgOfFndTtlNAV>	[0..1]	Rate		1534

### Constraints

- FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
    /Identification is absent
Following Must be True
    /Name Must be present
Or    /LegalEntityIdentifier Must be present
```

- FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
    /Name is absent
Following Must be True
    /Identification Must be present
Or    /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or
  /Name Must be present
```

#### 65.1.25.7.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* "Max350Text" on page 2536

#### 65.1.25.7.2 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.25.7.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1532
	Type <Tp>	[1..1]	±		1532

##### 65.1.25.7.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* "Max35Text" on page 2536

##### 65.1.25.7.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.



**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice"](#) on page 1346 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1346
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1346

#### 65.1.25.7.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.25.7.5 TotalNAV <TtlNAV>

*Presence:* [0..1]

*Definition:* Total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.25.7.6 PreviousTotalNAV <PrvsTtlNAV>

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.7.7 TotalUnitsNumber <TtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of units of the fund/sub fund.

**TotalUnitsNumber <TtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.7.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.25.7.9 PercentageOfFundTotalNAV <PctgOfFndTtlNAV>**

*Presence:* [0..1]

*Definition:* Consolidated net cash flow expressed as a percentage of the total NAV for the fund/sub fund.

*Datatype:* "[PercentageRate](#)" on page 2534

**65.1.25.8 Fund3**

*Definition:* Information about an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1535
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1536
	Identification <Id>	[0..1]			1536
	Identification <Id>	[1..1]	Text		1536
	Type <Tp>	[1..1]	±		1536
	Currency <Ccy>	[0..1]	CodeSet	C3	1536
	EstimatedTotalNAV <EstmtdTtlNAV>	[0..1]	Amount	C3, C12	1537
	PreviousTotalNAV <PrvsTtlNAV>	[0..1]	Amount	C3, C12	1537
	EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>	[0..1]	±		1537
	PreviousTotalUnitsNumber <PrvsTtlUnitsNb>	[0..1]	±		1538
	EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>	[0..1]	Rate		1538

### Constraints

- **FundIdentification1Rule**

If Identification is not present, then Name or LegalEntityIdentifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Identification is absent
Following Must be True
  /Name Must be present
Or
  /LegalEntityIdentifier Must be present
```

- **FundIdentification2Rule**

If Name is not present, then Identification or Legal Entity Identifier must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /Name is absent
Following Must be True
  /Identification Must be present
Or
  /LegalEntityIdentifier Must be absent
```

- **FundIdentification3Rule**

If Legal Entity Identifier is not present, then Identification or Name must be present. Identification, Name and Legal Entity Identifier may all be present.

```
On Condition
  /LegalEntityIdentifier is absent
Following Must be True
  /Identification Must be present
Or
  /Name Must be present
```

#### 65.1.25.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the fund/sub fund.

*Datatype:* ["Max350Text" on page 2536](#)

#### 65.1.25.8.2 LegalEntityIdentifier <LgInttyldr>

*Presence:* [0..1]

*Definition:* Identification of the fund/sub fund with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* ["LEIIdentifier" on page 2529](#)

#### 65.1.25.8.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the fund/sub fund, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains the following **OtherIdentification4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1536
	Type <Tp>	[1..1]	±		1536

##### 65.1.25.8.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the fund/sub fund.

*Datatype:* ["Max35Text" on page 2536](#)

##### 65.1.25.8.3.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Identification source.

**Type <Tp>** contains one of the following elements (see ["IdentificationSource5Choice" on page 1346](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DomesticIdentificationSource <DmstldSrc>	[1..1]	CodeSet	C11	1346
Or}	ProprietaryIdentificationSource <PrtryldSrc>	[1..1]	Text		1346

#### 65.1.25.8.4 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency of the fund/sub fund.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode" on page 2417](#)

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.25.8.5 EstimatedTotalNAV <EstmtdTtlNAV>**

*Presence:* [0..1]

*Definition:* Estimated total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.8.6 PreviousTotalNAV <PrvsTtlNAV>**

*Presence:* [0..1]

*Definition:* Previous total value of all the holdings, less the fund's liabilities, of the fund/sub fund.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.25.8.7 EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>**

*Presence:* [0..1]

*Definition:* Estimated total number of units of the fund/sub fund.

**EstimatedTotalUnitsNumber <EstmtdTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.8.8 PreviousTotalUnitsNumber <PrvsTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Previous total number of units of the fund/sub fund.

**PreviousTotalUnitsNumber <PrvsTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.25.8.9 EstimatedPercentageOfFundTotalNAV <EstmtdPctgOfFndTtlNAV>

*Presence:* [0..1]

*Definition:* Estimated consolidated net cash flow expressed as a percentage of the previous total NAV for the fund/sub fund.

*Datatype:* "PercentageRate" on page 2534

## 65.1.26 InvestmentFundOrder

### 65.1.26.1 InvestmentFundOrder4

*Definition:* Identifies an order linked to an account opening.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderReference <OrdRef>	[0..1]	Text		1538
	MasterReference <MstrRef>	[0..1]	Text		1538

#### 65.1.26.1.1 OrderReference <OrdRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for an order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.26.1.2 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a group of individual orders, as assigned by the instructing party. This identifier links the individual orders together.

*Datatype:* "Max35Text" on page 2536

## 65.1.26.2 LocalMarketAnnex4

*Definition:* Context, or geographic environment, in which trading parties may meet in order to negotiate and execute trades among themselves.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..*]	CodeSet	C11	1539
	LocalOrderDesk <LclOrdDsk>	[1..1]	±		1539
	SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>	[0..1]	±	C7	1539
	RedemptionProcessingCharacteristics <RedPrcgChrtcs>	[0..1]	±	C10	1541
	SwitchProcessingCharacteristics <SwchPrcgChrtcs>	[0..1]	±	C9	1542
	CashSettlementDetails <CshSttlmDtls>	[0..*]	±		1543
	AdditionalInformation <AddtlInf>	[0..*]	±		1544

### 65.1.26.2.1 Country <Ctry>

*Presence:* [1..\*]

*Definition:* Country of the local fund order desk.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.26.2.2 LocalOrderDesk <LclOrdDsk>

*Presence:* [1..1]

*Definition:* Local entity appointed by the fund, to which orders should be submitted.

**LocalOrderDesk <LclOrdDsk>** contains the following elements (see "OrderDesk1" on page 1877 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdDsk>	[0..1]	±		1877
	ClosureDates <ClsrDts>	[0..*]	Date		1878
	AdditionalInformation <AddtlInf>	[0..*]	±		1878

### 65.1.26.2.3 SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a subscription to the investment fund or alternative/hedge fund.

Impacted by: C7 "DealingCutOffTimeFrameRule"

**SubscriptionProcessingCharacteristics <SbcptPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics8" on page 1544 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1546
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1546
	ApplicationForm <ApplForm>	[1..1]	Indicator		1546
	SignatureType <SgntrTp>	[1..1]	CodeSet		1546
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1547
	ApplicationForm <ApplForm>	[1..1]	Indicator		1547
	SignatureType <SgntrTp>	[1..1]	CodeSet		1547
	AmountIndicator <AmtInd>	[0..1]	Indicator		1547
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1548
	Rounding <Rndg>	[0..1]	CodeSet		1548
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1548
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1548
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1549
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1549
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1549
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1550
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	1550
	LimitedPeriod <LtdPrd>	[0..1]	Text		1551
	SettlementCycle <SttlmCycl>	[0..1]			1551
{Or	TradePlus <TPlus>	[1..1]	Quantity		1551
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1551
	AdditionalInformation <AddtlInf>	[0..*]	±		1551

## Constraints

### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present



Or /DealingCutOffTimeFrame/TradeMinus Must be present  
 Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 65.1.26.2.4 RedemptionProcessingCharacteristics <RedPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a redemption to the investment fund or alternative/hedge fund.

*Impacted by:* C10 "DealingCutOffTimeFrameRule"

**RedemptionProcessingCharacteristics <RedPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics5" on page 1623 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1624
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1625
	ApplicationForm <ApplForm>	[1..1]	Indicator		1625
	SignatureType <SgntrTp>	[1..1]	CodeSet		1625
	AmountIndicator <AmtInd>	[0..1]	Indicator		1626
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1626
	Rounding <Rndg>	[0..1]	CodeSet		1626
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1626
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1626
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1627
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1627
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1627
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1628
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1628
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	1628
	LimitedPeriod <LtdPrd>	[0..1]	Text		1629
	SettlementCycle <SttlmCycl>	[0..1]			1629
{Or	TradePlus <TPlus>	[1..1]	Quantity		1629
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1630
	AdditionalInformation <AddttlInf>	[0..*]	±		1630

## Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

### 65.1.26.2.5 SwitchProcessingCharacteristics <SwchPrcgChrtcs>

*Presence:* [0..1]

*Definition:* Processing characteristics linked to a switch of the investment fund or alternative/hedge fund.

*Impacted by:* C9 "DealingCutOffTimeFrameRule"

**SwitchProcessingCharacteristics <SwchPrcgChrtcs>** contains the following elements (see "ProcessingCharacteristics6" on page 1617 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealGcCyAccptd>	[0..*]	CodeSet	C2	1618
	SwitchAuthorisation <SwchAuthstn>	[0..1]			1618
	ApplicationForm <ApplForm>	[1..1]	Indicator		1618
	SignatureType <SgntrTp>	[1..1]	CodeSet		1618
	AmountIndicator <AmtInd>	[0..1]	Indicator		1619
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1619
	Rounding <Rndg>	[0..1]	CodeSet		1619
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1619
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1620
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1620
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1620
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1621
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1621
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	1621
	LimitedPeriod <LtdPrd>	[0..1]	Text		1622
	SettlementCycle <SttlmCycl>	[0..1]			1622
{Or	TradePlus <TPlus>	[1..1]	Quantity		1622
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1623
	AdditionalInformation <AddtlInf>	[0..*]	±		1623

#### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 65.1.26.2.6 CashSettlementDetails <CshSttlmDtls>

Presence: [0..\*]

*Definition:* Account to be used for cash settlement.

**CashSettlementDetails <CshSttlmDtls>** contains the following elements (see "[CashAccount202](#)" on page 996 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[0..1]	CodeSet	C2	996
	PrimaryAccount <PmryAcct>	[0..1]			996
	AccountIdentification <AcctId>	[1..1]	±		997
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	997
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		997
	SecondaryAccount <ScndryAcct>	[0..1]			997
	AccountIdentification <AcctId>	[1..1]	±		998
	Servicer <Svcr>	[0..1]	IdentifierSet	C1	998
	AccountTypeDescription <AcctTpDesc>	[0..1]	Text		998

#### 65.1.26.2.7 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the fund order desk.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.26.3 ProcessingCharacteristics8

*Definition:* Processing characteristics linked to a subscription to an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1546
	InitialInvestmentApplication <InitlInvstmtAppl>	[0..1]			1546
	ApplicationForm <ApplForm>	[1..1]	Indicator		1546
	SignatureType <SgntrTp>	[1..1]	CodeSet		1546
	SubsequentInvestmentApplication <SbsqntInvstmtAppl>	[0..1]			1547
	ApplicationForm <ApplForm>	[1..1]	Indicator		1547
	SignatureType <SgntrTp>	[1..1]	CodeSet		1547
	AmountIndicator <AmtInd>	[0..1]	Indicator		1547
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1548
	Rounding <Rndg>	[0..1]	CodeSet		1548
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1548
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1548
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1549
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1549
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1549
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1550
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C23, C30	1550
	LimitedPeriod <LtdPrd>	[0..1]	Text		1551
	SettlementCycle <SttlmCycl>	[0..1]			1551
{Or	TradePlus <TPlus>	[1..1]	Quantity		1551
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1551
	AdditionalInformation <AddtlInf>	[0..*]	±		1551

### Constraints

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present  
 Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

### 65.1.26.3.1 DealingCurrencyAccepted <DealgCcyAccptd>

*Presence:* [0..\*]

*Definition:* Currency in which a subscription is accepted.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode" on page 2417](#)

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.26.3.2 InitialInvestmentApplication <InitlInvstmtAppl>

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for the initial investment.

**InitialInvestmentApplication <InitlInvstmtAppl>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1546
	SignatureType <SgntrTp>	[1..1]	CodeSet		1546

#### 65.1.26.3.2.1 ApplicationForm <ApplForm>

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.3.2.2 SignatureType <SgntrTp>

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* ["SignatureType1Code" on page 2496](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public

CodeName	Name	Definition
		key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

### 65.1.26.3.3 SubsequentInvestmentApplication <SbsqntInvstmtAppl>

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for the subsequent investments.

**SubsequentInvestmentApplication <SbsqntInvstmtAppl>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1547
	SignatureType <SgntrTp>	[1..1]	CodeSet		1547

#### 65.1.26.3.3.1 ApplicationForm <ApplForm>

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.3.3.2 SignatureType <SgntrTp>

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2496

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

#### 65.1.26.3.4 AmountIndicator <AmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether a subscription can be instructed by amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.3.5 UnitsIndicator <UnitsInd>

*Presence:* [0..1]

*Definition:* Indicates whether a subscription can be instructed as a number of units.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.3.6 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* ["RoundingDirection2Code" on page 2492](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 65.1.26.3.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see ["MainFundOrderDeskLocation1" on page 1602](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1602
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1603
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

#### 65.1.26.3.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the subscriptions are done.

*Datatype:* ["EventFrequency5Code" on page 2438](#)



CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.26.3.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the subscription is done.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.3.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to subscribe can be given.

*Datatype:* "ISOTime" on page 2538

#### 65.1.26.3.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>

*Presence:* [0..1]

*Definition:* Dealing cut-off timeframe.

*Impacted by:* C22 "NonWorkingDayAdjustmentRule", C29 "TradeMinusRule"

**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see "TimeFrame4" on page 1152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1153
	TradeMinus <TMns>	[0..1]	Quantity		1153
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1153
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1154

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**65.1.26.3.12 DealConfirmationTime <DealConfTm>**

*Presence:* [0..1]

*Definition:* Time at which the deal confirmation is issued.

*Datatype:* "ISOTime" on page 2538

**65.1.26.3.13 DealConfirmationTimeFrame <DealConfTmFrame>**

*Presence:* [0..1]

*Definition:* Time frame within which the deal confirmation is issued.

*Impacted by:* C23 "NonWorkingDayAdjustmentRule", C30 "TradePlusRule"

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame7" on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1149
	TradePlus <TPlus>	[0..1]	Quantity		1149
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1149
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1150

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True  
/NonWorkingDayAdjustment Must be present

#### 65.1.26.3.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be subscribed.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.3.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1551
Or}	Prepayment <Prepmt>	[1..1]	Indicator		1551

##### 65.1.26.3.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2533

##### 65.1.26.3.15.2 Prepayment <Prepmt>

*Presence:* [1..1]

*Definition:* Indicates whether pre-payment is necessary.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.3.16 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the subscription processing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

## 65.1.26.4 InvestmentNeed2Choice

*Definition:* Choice of formats for an investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1552
Or}	Proprietary <Prtry>	[1..1]	±		1552

### 65.1.26.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Investment need expressed as a code.

*Datatype:* "InvestmentNeed2Code" on page 2463

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

### 65.1.26.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investment need expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.26.5 TargetMarket2

*Definition:* Target market criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReferenceDate <RefDt>	[0..1]	Date		1554
	InvestorType <InvstrTp>	[0..1]			1554
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		1554
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		1555
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		1555
	Other <Othr>	[0..*]	±		1555
	KnowledgeAndOrExperience <KnwldgAndOrExprnc>	[0..1]			1555
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		1556
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		1556
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		1557
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		1557
	Other <Othr>	[0..*]	±		1557
	AbilityToBearLosses <AblyToBearLosses>	[0..1]			1558
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		1559
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		1559
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		1559
	Other <Othr>	[0..*]	±		1559
	RiskTolerance <RskTlrnce>	[0..1]			1560
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdly>	[0..1]	Quantity		1560
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdly>	[0..1]	Quantity		1560
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		1560
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		1561
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		1561
	Other <Othr>	[0..*]	±		1561
	ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>	[0..1]			1561
	ReturnProfilePreservation <RtrPrflPrsvtn>	[0..1]	CodeSet		1562
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		1562
	ReturnProfileIncome <RtrPrflInc>	[0..1]	CodeSet		1562

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		1563
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		1563
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		1563
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		1564
	ESGPreferences <ESGPrefs>	[0..1]	CodeSet		1564
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		1564
	Other <Othr>	[0..*]	±		1565
	Other <Othr>	[0..*]	±		1565

#### 65.1.26.5.1 ReferenceDate <RefDt>

*Presence:* [0..1]

*Definition:* Date to which the target market data refers. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01000.

*Datatype:* "ISODate" on page 2521

#### 65.1.26.5.2 InvestorType <InvstrTp>

*Presence:* [0..1]

*Definition:* Investor for which the financial instrument is targeted.

**InvestorType <InvstrTp>** contains the following **InvestorType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorTypeRetail <InvstrTpRtl>	[0..1]	CodeSet		1554
	InvestorTypeProfessional <InvstrTpPrfssnl>	[0..1]	±		1555
	InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>	[0..1]	CodeSet		1555
	Other <Othr>	[0..*]	±		1555

#### 65.1.26.5.2.1 InvestorTypeRetail <InvstrTpRtl>

*Presence:* [0..1]

*Definition:* Specifies whether the product is aimed at the retail investor. If neutral, the manufacturer estimates that there is neither a negative nor a positive target market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01010.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.2.2 InvestorTypeProfessional <InvstrTpPrfssnl>

*Presence:* [0..1]

*Definition:* Specifies how the product is aimed at the professional investor. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01020.

**InvestorTypeProfessional <InvstrTpPrfssnl>** contains one of the following elements (see "TargetMarket5Choice" on page 1657 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1657
Or}	Other <Othr>	[1..1]	CodeSet		1657

#### 65.1.26.5.2.3 InvestorTypeEligibleCounterparty <InvstrTpElgblCtrPty>

*Presence:* [0..1]

*Definition:* Specifies whether the product is aimed at the eligible counterparty. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 01030.

*Datatype:* "TargetMarket3Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.2.4 Other <Othr>

*Presence:* [0..\*]

*Definition:* Specifies another investor type.

**Other <Othr>** contains the following elements (see "OtherTargetMarketInvestor1" on page 1662 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		1662
	Target <Trgt>	[0..1]			1662
{Or	Type <Tp>	[1..1]	CodeSet		1663
Or	Other <Othr>	[1..1]	CodeSet		1663
Or}	Proprietary <Prtry>	[1..1]	±		1663
	AdditionalInformation <AddtlInf>	[0..1]	±		1663

#### 65.1.26.5.3 KnowledgeAndOrExperience <KnwldgAndOrExprnc>

*Presence:* [0..1]

*Definition:* Knowledge and/or experience of the investor.

**KnowledgeAndOrExperience <KwldgAndOrExprnc>** contains the following **InvestorKnowledge1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BasicInvestor <BsicInvstr>	[0..1]	CodeSet		1556
	InformedInvestor <InfrmdInvstr>	[0..1]	CodeSet		1556
	AdvancedInvestor <AdvncdInvstr>	[0..1]	CodeSet		1557
	ExpertInvestorGermany <ExprtInvstrDE>	[0..1]	CodeSet		1557
	Other <Othr>	[0..*]	±		1557

#### 65.1.26.5.3.1 BasicInvestor <BsicInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is a basic investor. A basic investor has one, or more, of the following characteristics:

- a basic knowledge of relevant financial instruments (a basic investor can make an informed investment decision based on the regulated and authorised offering documentation or with the help of basic information provided at the point of sale),
- no financial industry experience, that is, suited to a first time investor.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02010.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.3.2 InformedInvestor <InfrmdInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an informed investor. An informed investor has one, or more, of the following characteristics:

- average knowledge of relevant financial products (an informed investor can make an informed investment decision based on the regulated and authorised offering documentation, together with knowledge and understanding of the specific factors/risks highlighted within them only),
- some financial industry experience.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02020.

*Datatype:* "TargetMarket1Code" on page 2499



CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.3.3 AdvancedInvestor <AdvncdInvstr>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an advanced investor. An advanced investor has one, or more, of the following characteristics:

- good knowledge of relevant financial products and transactions, financial industry experience or accompanied by professional investment advice or included in a - discretionary portfolio service.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02030.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.3.4 ExpertInvestorGermany <ExprtInvstrDE>

*Presence:* [0..1]

*Definition:* Specifies whether the investor is an expert investor. An expert investor has expert knowledge of and/or experience with highly specialised financial products. (Specific to Germany.)

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 02040.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.3.5 Other <Othr>

*Presence:* [0..\*]

*Definition:* Type of investor knowledge and experience for which the financial instrument is targeted.

**Other <Othr>** contains the following elements (see "OtherTargetMarketInvestorKnowledge1" on page 1660 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		1661
	Target <Trgt>	[0..1]			1661
{Or	Code <Cd>	[1..1]	CodeSet		1661
Or}	Proprietary <Prtry>	[1..1]	±		1661
	AdditionalInformation <AddtlInf>	[0..1]	±		1662

#### 65.1.26.5.4 AbilityToBearLosses <AblyToBearLosses>

*Presence:* [0..1]

*Definition:* Investor's ability to bear losses.

**AbilityToBearLosses <AblyToBearLosses>** contains the following **LossBearing2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoCapitalLoss <NoCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLoss <LtdCptlLoss>	[0..1]	CodeSet		1558
	LimitedCapitalLossLevel <LtdCptlLossLvl>	[0..1]	Rate		1559
	NoCapitalGuarantee <NoCptlGrnt>	[0..1]	CodeSet		1559
	LossBeyondCapital <LossByndCptl>	[0..1]	CodeSet		1559
	Other <Othr>	[0..*]	±		1559

##### 65.1.26.5.4.1 NoCapitalLoss <NoCptlLoss>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who cannot bear loss of capital. Minor losses especially due to costs are possible. For a negative target (no), the product should not be sold to investors that cannot bear losses. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03010.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

##### 65.1.26.5.4.2 LimitedCapitalLoss <LtdCptlLoss>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is seeking to preserve capital or who can bear losses limited to a level specified by a structured security or structure fund product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03020.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.4.3 LimitedCapitalLossLevel <LtdCptlLossLvl>

*Presence:* [0..1]

*Definition:* Specifies the percentage of loss that can be carried by the investor. This is only specified when a clear partial capital guarantee is provided on the primary market. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03030.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.26.5.4.4 NoCapitalGuarantee <NoCptlGrnt>

*Presence:* [0..1]

*Definition:* Specifies the product is compatible with a client who does not need capital guarantee nor protection. One hundred percent of the capital is at risk. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03040.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.4.5 LossBeyondCapital <LossByndCptl>

*Presence:* [0..1]

*Definition:* Specifies the product is compatible with a client who can bear loss beyond the capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 03050.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.4.6 Other <Othr>

*Presence:* [0..\*]

*Definition:* Specifies another type of loss bearing.

**Other <Othr>** contains the following elements (see "OtherTargetMarketLossBearing1" on page 1659 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AblyToBearLossesTp>	[0..1]	Text		1659
	Target <Trgt>	[0..1]			1659
{Or	Code <Cd>	[1..1]	CodeSet		1660
Or}	Proprietary <Prtry>	[1..1]	±		1660
	AdditionalInformation <AddtlInf>	[0..1]	±		1660

#### 65.1.26.5.5 RiskTolerance <RskTlrnce>

*Presence:* [0..1]

*Definition:* Investor's tolerance to risk.

**RiskTolerance <RskTlrnce>** contains the following **RiskTolerance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>	[0..1]	Quantity		1560
	RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>	[0..1]	Quantity		1560
	RiskToleranceInternal <RskTlrnceIntl>	[0..1]	CodeSet		1560
	RiskToleranceForNonPRIIPSAAndNonUCITSSpain <RskTlrnceForNonPRIIPSAAndNonUCITSES>	[0..1]	Quantity		1561
	NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>	[0..1]	CodeSet		1561
	Other <Othr>	[0..*]	±		1561

##### 65.1.26.5.5.1 RiskTolerancePRIIPSMethodology <RskTlrncePRIIPSMthdlgy>

*Presence:* [0..1]

*Definition:* Specifies the Summary Risk Indicator (SRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04010.

*Datatype:* "Max1Number" on page 2533

##### 65.1.26.5.5.2 RiskToleranceUCITSMethodology <RskTlrnceUCITSMthdlgy>

*Presence:* [0..1]

*Definition:* Specifies the Synthetic Risk and Reward Indicator (SRRI). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04020.

*Datatype:* "Max1Number" on page 2533

##### 65.1.26.5.5.3 RiskToleranceInternal <RskTlrnceIntl>

*Presence:* [0..1]

*Definition:* Specifies the risk tolerance for non-PRIPs and non-UCITS instructions. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04030.

*Datatype:* "RiskLevel1Code" on page 2491

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

#### 65.1.26.5.5.4 RiskToleranceForNonPRIIPsAndNonUCITSSpain <RskTlrnceForNonPRIIPsAndNonUCITSES>

*Presence:* [0..1]

*Definition:* Specifies the Summary Risk Indicator (SRI) for a Spanish product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04040.

*Datatype:* "Max1Number" on page 2533

#### 65.1.26.5.5.5 NotForInvestorsWithTheLowestRiskToleranceGermany <NotForInvstrsWthTheLwstRskTlrnceDE>

*Presence:* [0..1]

*Definition:* Specifies the risk tolerance for a German product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 04050.

*Datatype:* "TargetMarket2Code" on page 2499

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

#### 65.1.26.5.5.6 Other <Othr>

*Presence:* [0..\*]

*Definition:* Specifies another type of risk tolerance.

**Other <Othr>** contains the following elements (see "OtherTargetMarketRiskTolerance1" on page 1657 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		1658
	Target <Trgt>	[0..1]			1658
{Or	Code <Cd>	[1..1]	CodeSet		1658
Or}	Proprietary <Prtry>	[1..1]	±		1658
	AdditionalInformation <AddtlInf>	[0..1]	±		1659

#### 65.1.26.5.6 ClientObjectivesAndNeeds <ClntObjctvsAndNeeds>

*Presence:* [0..1]

*Definition:* Investor's investment requirements.

**ClientObjectivesAndNeeds <CIntObjctvsAndNeeds>** contains the following **InvestorRequirements2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReturnProfilePreservation <RtrPrflPrsrvtn>	[0..1]	CodeSet		1562
	ReturnProfileGrowth <RtrPrflGrwth>	[0..1]	CodeSet		1562
	ReturnProfileIncome <RtrPrflIncm>	[0..1]	CodeSet		1562
	ReturnProfileHedging <RtrPrflHdgg>	[0..1]	CodeSet		1563
	OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>	[0..1]	CodeSet		1563
	ReturnProfilePensionSchemeGermany <RtrPrflPnsnSchmeDE>	[0..1]	CodeSet		1563
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	±		1564
	ESGPreferences <ESGPrfs>	[0..1]	CodeSet		1564
	OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>	[0..1]	±		1564
	Other <Othr>	[0..*]	±		1565

#### 65.1.26.5.6.1 ReturnProfilePreservation <RtrPrflPrsrvtn>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is looking for the preservation of capital. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05010.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.2 ReturnProfileGrowth <RtrPrflGrwth>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client looking for capitalisation growth. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05020.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.3 ReturnProfileIncome <RtrPrflIncm>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with a client who is looking for income. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05030.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.4 ReturnProfileHedging <RtrPrfIHdgg>

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the hedging profile of a structured security product.

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05040.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.5 OptionOrLeveragedReturnProfile <OptnOrLvrgdRtrPrfl>

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the option or leveraged return profile of a structured security product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05050.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.6 ReturnProfilePensionSchemeGermany <RtrPrfIPnsnSchmeDE>

*Presence:* [0..1]

*Definition:* Level of compatibility of the investor risk profile with the Return Profile Pension Scheme Germany profile of the product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05070.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.26.5.6.7 MinimumHoldingPeriod <MinHldgPrd>

*Presence:* [0..1]

*Definition:* Minimum recommended holding period (RHP).

When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05080.

**MinimumHoldingPeriod <MinHldgPrd>** contains one of the following elements (see "TimeHorizon2Choice" on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NumberOfYears <NbOfYrs>	[1..1]	Quantity		1150
Or}	TimeFrame <TmFrame>	[1..1]			1150
{Or	Code <Cd>	[1..1]	CodeSet		1151
Or}	Proprietary <Prtry>	[1..1]	±		1151

#### 65.1.26.5.6.8 ESGPreferences <ESGPrefs>

*Presence:* [0..1]

*Definition:* Specifies whether the product is compatible with investors that have Environmental, Social and Governance (ESG) preferences. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05105.

*Datatype:* "TargetMarket2Code" on page 2499

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

#### 65.1.26.5.6.9 OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>

*Presence:* [0..1]

*Definition:* Specifies other specific investment needs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 05115.

**OtherSpecificInvestmentNeed <OthrSpfcInvstmtNeed>** contains one of the following elements (see "InvestmentNeed2Choice" on page 1552 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1552
Or}	Proprietary <Prtry>	[1..1]	±		1552



**65.1.26.5.6.10 Other <Othr>***Presence:* [0..\*]*Definition:* Other investment need.**Other <Othr>** contains the following elements (see "[OtherInvestmentNeed1](#)" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		1601
	Target <Trgt>	[0..1]			1601
{Or	Code <Cd>	[1..1]	CodeSet		1601
Or}	Proprietary <Prtry>	[1..1]	±		1601
	AdditionalInformation <AddtlInf>	[0..1]	±		1602

**65.1.26.5.7 Other <Othr>***Presence:* [0..\*]*Definition:* Other target market parameter.**Other <Othr>** contains the following elements (see "[OtherTargetMarket1](#)" on page 1613 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		1613
	AdditionalInformation <AddtlInf>	[0..1]	±		1614

**65.1.26.6 Crystallisation2***Definition:* Number of crystallised units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TrancheIdentification <Trchld>	[1..1]	Text		1565
	CrystallisedUnitsNumber <CrstllsdUnitsNb>	[0..1]	Quantity		1566
	UncrystallisedUnitsNumber <UcrstllsdUnitsNb>	[0..1]	Quantity		1566
	CrystallisedAmount <CrstllsdAmt>	[0..1]	Amount	C2	1566
	UncrystallisedAmount <UcrstllsdAmt>	[0..1]	Amount	C2	1566
	AdditionalInformation <AddtlInf>	[0..*]	±		1566

**65.1.26.6.1 TrancheIdentification <Trchld>***Presence:* [1..1]*Definition:* Identification of the tranche.*Datatype:* "[Max35Text](#)" on page 2536

**65.1.26.6.2 CrystallisedUnitsNumber <CrstllsdUnitsNb>**

*Presence:* [0..1]

*Definition:* Number of units crystallised.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.6.3 UncrystallisedUnitsNumber <UcrstllsdUnitsNb>**

*Presence:* [0..1]

*Definition:* Number of units uncrystallised.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.6.4 CrystallisedAmount <CrstllsdAmt>**

*Presence:* [0..1]

*Definition:* Sum representing the crystallised amount.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.6.5 UncrystallisedAmount <UcrstllsdAmt>**

*Presence:* [0..1]

*Definition:* Sum representing the uncrystallised amount.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.6.6 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the crystallisation.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.7 Conversion1

*Definition:* Identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetSecurity <TrgtScty>	[1..1]		C27	1567
	Identification <Id>	[1..1]	±		1567
	Name <Nm>	[0..1]	Text		1568
	ShortName <ShrtNm>	[0..1]	Text		1568
	AdditionalInformation <AddtlInf>	[0..*]	±		1568

#### 65.1.26.7.1 TargetSecurity <TrgtScty>

*Presence:* [1..1]

*Definition:* Identification of the target security.

*Impacted by:* C27 "IdentificationGuideline"

**TargetSecurity <TrgtScty>** contains the following **FinancialInstrumentIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1567
	Name <Nm>	[0..1]	Text		1568
	ShortName <ShrtNm>	[0..1]	Text		1568

#### Constraints

- **IdentificationGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.26.7.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security, assigned under a formal or proprietary identification scheme.

**Identification <Id>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

#### 65.1.26.7.1.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the financial instrument in free format text.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.7.1.3 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Financial Instrument Short Name (FISN) expressed in conformance with the ISO 18774 standard.

*Datatype:* "Max35Text" on page 2536

#### 65.1.26.7.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the conversion.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.8 PensionTransferScope1Choice

*Definition:* Choice of formats for the scope of a pension transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1569
Or}	Proprietary <Prtry>	[1..1]	±		1569

#### 65.1.26.8.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme transfer scope expressed as a code.

*Datatype:* "PensionTransferScope1Code" on page 2477

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

#### 65.1.26.8.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of pension policy, plan or scheme transfer scope expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.9 MoneyPurchaseAnnualAllowance1

*Definition:* Information about a Money Purchase Annual Allowance (MPAA).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Triggered <Trggrd>	[1..1]	Indicator		1570
	TriggeredDate <TrggrdDt>	[0..1]	Date		1570

#### 65.1.26.9.1 Triggered <Trggrd>

*Presence:* [1..1]

*Definition:* Indicates whether the annual allowance has been triggered.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.9.2 TriggeredDate <TrggrdDt>

*Presence:* [0..1]

*Definition:* Date the annual allowance is taken.

*Datatype:* "ISODate" on page 2521

### 65.1.26.10 PensionOrder1

*Definition:* Order attached to a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1570
{Or	Code <Cd>	[1..1]	CodeSet		1570
Or}	Proprietary <Prtry>	[1..1]	±		1571
	AdditionalInformation <AddtlInf>	[0..*]	±		1571

#### 65.1.26.10.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Order attached to the pension policy, plan or scheme.

**Type <Tp>** contains one of the following **PensionOrderType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1570
Or}	Proprietary <Prtry>	[1..1]	±		1571

##### 65.1.26.10.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of order attached to the pension policy, plan or scheme expressed as a code.

*Datatype:* "PensionOrderType1Code" on page 2476

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

#### 65.1.26.10.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of order attached to the pension policy, plan or scheme expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.10.2 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the pension order.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.26.11 LumpSumType1Choice

*Definition:* Choice of formats for a type of lump sum.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1571
Or}	Proprietary <Prtry>	[1..1]	±		1572

#### 65.1.26.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of lump sum expressed as a code.

*Datatype:* "[LumpSumType1Code](#)" on page 2466

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.

#### 65.1.26.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of lump sum expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.12 DrawdownType2Choice

*Definition:* Choice of formats for a type of drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1572
Or}	Proprietary <Prtry>	[1..1]	±		1572

##### 65.1.26.12.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of drawdown expressed as a code.

*Datatype:* "[DrawdownType2Code](#)" on page 2436

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

##### 65.1.26.12.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of drawdown expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.13 Drawdown2

*Definition:* Details of a drawdown tranche.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1575
	TrancheType <TrchTp>	[1..1]	±		1575
	ApplicableRules <ApplblRules>	[0..1]			1575
{Or	Code <Cd>	[1..1]	CodeSet		1575
Or}	Proprietary <Prtry>	[1..1]	±		1576
	InvestorTaxReference <InvstrTaxRef>	[0..1]			1576
	Type <Tp>	[0..1]			1576
{Or	Code <Cd>	[1..1]	CodeSet		1576
Or}	Proprietary <Prtry>	[1..1]	±		1577
	Reference <Ref>	[1..1]	Text		1577
	PercentageOfTotalTransferValue <PctgOfTtlTrfVal>	[0..1]	Rate		1577
	TotalAmountNetDrawdown <TtlAmtNetDrwdwn>	[0..1]	Amount	C2	1577
	AdditionalFundsDesignated <AddtlFndsDsgntd>	[0..1]	Indicator		1577
	PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>	[0..1]	Amount	C2	1578
	PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>	[0..1]	Date		1578
	MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>	[0..1]	Indicator		1578
	LifetimeAllowance <LftmAllwnc>	[0..1]	Rate		1578
	RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>	[0..1]	Indicator		1578
	BeneficiaryDetails <BnfcryDtls>	[0..1]	±		1579
	CappedLimits <CapdLmts>	[0..1]			1579
	StartDate <StartDt>	[0..1]	Date		1579
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	1579
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	1580
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	1580
	AdditionalInformation <AddtlInf>	[0..*]	±		1580
	FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>	[0..1]	Date		1581
	AdditionalInformation <AddtlInf>	[0..*]	±		1581

## Constraints

### • BeneficiaryDetailsRule

If RecipientOfDrawdownIndicator is "false" or "0" (No), then BeneficiaryDetails is not allowed.

If RecipientOfDrawdownIndicator is "true" or "1" (Yes), then BeneficiaryDetails may be present.

On Condition

/RecipientOfDrawdownIndicator is equal to value 'false'

Or /RecipientOfDrawdownIndicator is equal to value '0'

Following Must be True

/BeneficiaryDetails Must be absent

### 65.1.26.13.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the drawdown.

*Datatype:* "Max140Text" on page 2535

### 65.1.26.13.2 TrancheType <TrchTp>

*Presence:* [1..1]

*Definition:* Type of drawdown tranche.

**TrancheType <TrchTp>** contains one of the following elements (see "DrawdownType2Choice" on page 1572 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1572
Or}	Proprietary <Prtry>	[1..1]	±		1572

### 65.1.26.13.3 ApplicableRules <ApblRules>

*Presence:* [0..1]

*Definition:* Specifies the rules that are applicable to the drawdown. For example, in the UK market, the pre-A-day rule that was introduced on 6 April 2006.)

**ApplicableRules <ApblRules>** contains one of the following **ApplicableRules1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1575
Or}	Proprietary <Prtry>	[1..1]	±		1576

#### 65.1.26.13.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Applicable rules expressed as a code.

*Datatype:* "ApplicableRules1Code" on page 2418

CodeName	Name	Definition
NPRES	NotPreADay	Pre A Day rules do not apply.
YPRES	PreADay	Pre A Day rules applies.

### 65.1.26.13.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Applicable rules expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.13.4 InvestorTaxReference <InvstrTaxRef>

*Presence:* [0..1]

*Definition:* Identification of the investor as assigned by a tax authority.

**InvestorTaxReference <InvstrTaxRef>** contains the following **TaxReference2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1576
{Or	Code <Cd>	[1..1]	CodeSet		1576
Or}	Proprietary <Prtry>	[1..1]	±		1577
	Reference <Ref>	[1..1]	Text		1577

#### 65.1.26.13.4.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**Type <Tp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1576
Or}	Proprietary <Prtry>	[1..1]	±		1577

#### 65.1.26.13.4.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a code.

*Datatype:* "[PersonIdentificationType7Code](#)" on page 2477

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.

CodeName	Name	Definition
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

#### 65.1.26.13.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification36"](#) on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.13.4.2 Reference <Ref>

*Presence:* [1..1]

*Definition:* Pension scheme tax reference issued to the pension plan by a central organisation.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.26.13.5 PercentageOfTotalTransferValue <PctgOfTtlTrfVal>

*Presence:* [0..1]

*Definition:* Percentage of the total transfer value covered by the drawdown.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.26.13.6 TotalAmountNetDrawdown <TtlAmtNetDrwdwn>

*Presence:* [0..1]

*Definition:* Amount that was originally designated for drawdown.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyAnd13DecimalAmount"](#) on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.26.13.7 AdditionalFundsDesignated <AddtlFndsDsgntd>

*Presence:* [0..1]

*Definition:* Indicates whether any additional funds have been designated since the original arrangement.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.13.8 PensionCommencementLumpSumRemaining <PnsnCmcmntLumpSumRmng>

*Presence:* [0..1]

*Definition:* Amount of the pension commencement lump sum (PCLS) remaining.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.26.13.9 PensionCommencementLumpSumDate <PnsnCmcmntLumpSumDt>

*Presence:* [0..1]

*Definition:* Date by which the pension commencement lump sum (PCLS) must be used.

*Datatype:* "ISODate" on page 2521

#### 65.1.26.13.10 MultiplePensionCommencementLumpSums <MltplPnsnCmcmntLumpSums>

*Presence:* [0..1]

*Definition:* Indicates there have been multiple pension commencement lump sum (PCLS) payments.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.13.11 LifetimeAllowance <LftmAllwnc>

*Presence:* [0..1]

*Definition:* Percentage of the lifetime allowance (LTA) used.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.26.13.12 RecipientOfDrawdownIndicator <RcptOfDrwdwnInd>

*Presence:* [0..1]

*Definition:* Indicates a person other than the original pension holder is the receiver of the drawdown payment.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.13.13 BeneficiaryDetails <BnfcryDtls>**

*Presence:* [0..1]

*Definition:* Information about the recipient of the drawdown, when not the original pension holder.

**BeneficiaryDetails <BnfcryDtls>** contains the following elements (see "[BeneficiaryDrawdown1](#)" on page 1610 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			1610
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1611
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		1611
	AdditionalInformation <AddtlInf>	[0..*]	±		1611

**65.1.26.13.14 CappedLimits <CapdLmts>**

*Presence:* [0..1]

*Definition:* Limits of the capped drawdown.

**CappedLimits <CapdLmts>** contains the following **Capped1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[0..1]	Date		1579
	IncomeLimitCurrentPeriod <IncmLmtCurPrd>	[0..1]	Amount	C2	1579
	IncomeCurrentPeriod <IncmCurPrd>	[0..1]	Amount	C2	1580
	IncomeLimitNextPeriod <IncmLmtNxtPrd>	[0..1]	Amount	C2	1580
	AdditionalInformation <AddtlInf>	[0..*]	±		1580

**65.1.26.13.14.1 StartDate <StartDt>**

*Presence:* [0..1]

*Definition:* Start date of current reference period

*Datatype:* "[ISODate](#)" on page 2521

**65.1.26.13.14.2 IncomeLimitCurrentPeriod <IncmLmtCurPrd>**

*Presence:* [0..1]

*Definition:* Income limit for the current period.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* "[ActiveCurrencyAnd13DecimalAmount](#)" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.13.14.3 IncomeCurrentPeriod <IncmCurPrd>**

*Presence:* [0..1]

*Definition:* Income taken in the current income year.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.13.14.4 IncomeLimitNextPeriod <IncmLmtNxtPrd>**

*Presence:* [0..1]

*Definition:* Income limit for the next income year.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.13.14.5 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the cap.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288



**65.1.26.13.15 FlexibleDrawdownTriggeredDate <FlxblDrwdwnTrggrdDt>**

*Presence:* [0..1]

*Definition:* Date on which the drawdown was triggered when the drawdown type is flexible.

*Datatype:* ["ISODate" on page 2521](#)

**65.1.26.13.16 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the drawdown.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15" on page 1288](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.26.14 BenefitCrystallisationEvent2**

*Definition:* Information about the realisation of benefits taken from a pension.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventTypeName <EvtTpNb>	[0..1]	Text		1581
	EventTypeName <EvtTpNm>	[0..1]	Text		1581
	EventDate <EvtDt>	[0..1]	Date		1582
	CrystallisationAmount <CrstllstnAmt>	[0..1]	Amount	C2	1582
	PercentageOfAllowance <PctgOfAllwnc>	[0..1]	Rate		1582
	LifetimeAllowanceProtection <LftmAllwncPrctn>	[0..1]	Indicator		1582
	AdditionalInformation <AddtlInf>	[0..*]	±		1582

**65.1.26.14.1 EventTypeNumber <EvtTpNb>**

*Presence:* [0..1]

*Definition:* Number of the crystallisation event. In the UK market this could be, for example, BCE5, BE5A or BCE5B.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.26.14.2 EventTypeName <EvtTpNm>**

*Presence:* [0..1]

*Definition:* Name of the crystallisation event. In the UK market this could be, for example, 'entitlement to scheme pension'.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.26.14.3 EventDate <EvtDt>**

*Presence:* [0..1]

*Definition:* Date on which the crystallisation event was triggered.

*Datatype:* "ISODate" on page 2521

**65.1.26.14.4 CrystallisationAmount <CrstllstnAmt>**

*Presence:* [0..1]

*Definition:* Amount of the crystallisation event.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.14.5 PercentageOfAllowance <PctgOfAllwnc>**

*Presence:* [0..1]

*Definition:* Percentage of allowance used for the benefit crystallisation event.

*Datatype:* "PercentageRate" on page 2534

**65.1.26.14.6 LifetimeAllowanceProtection <LftmAllwncPrtcn>**

*Presence:* [0..1]

*Definition:* Indicates whether lifetime allowance protection impacts the benefit crystallisation event.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.14.7 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the benefit crystallisation event.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

## 65.1.26.15 ModificationScope41

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1583
	InvestmentPlan <InvstmtPlan>	[1..1]		C6	1584
	Frequency <Frqcy>	[1..1]	±		1585
	StartDate <StartDt>	[0..1]	Date		1585
	EndDate <EndDt>	[0..1]	Date		1585
	Quantity <Qty>	[1..1]	±		1585
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1585
	IncomePreference <IncmPref>	[0..1]	CodeSet		1586
	InitialAmount <InitlAmt>	[0..1]	±		1586
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1586
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1586
	SecurityDetails <SctyDtls>	[1..50]			1587
	Quantity <Qty>	[1..1]	±		1587
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1587
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1588
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1589
	ContractReference <CtrctRef>	[0..1]	Text		1590
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1590
	ProductIdentification <PdctId>	[0..1]	Text		1590
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1590
	InsuranceCover <InsrncCover>	[0..1]	±		1590
	PlanStatus <PlanSts>	[0..1]	±		1590
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1591

### 65.1.26.15.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.

CodeName	Name	Definition
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 65.1.26.15.2 InvestmentPlan <InvstmtPlan>

*Presence:* [1..1]

*Definition:* Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.

*Impacted by:* C6 "AmountRule"

**InvestmentPlan <InvstmtPlan>** contains the following **InvestmentPlan16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1585
	StartDate <StartDt>	[0..1]	Date		1585
	EndDate <EndDt>	[0..1]	Date		1585
	Quantity <Qty>	[1..1]	±		1585
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1585
	IncomePreference <IncmPref>	[0..1]	CodeSet		1586
	InitialAmount <InitlAmt>	[0..1]	±		1586
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1586
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1586
	SecurityDetails <SctyDtls>	[1..50]			1587
	Quantity <Qty>	[1..1]	±		1587
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1587
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1588
	ModifiedCashSettlement <ModfdCshSttlm>	[0..8]	±		1589
	ContractReference <CtrctRef>	[0..1]	Text		1590
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1590
	ProductIdentification <PdctId>	[0..1]	Text		1590
	SLChargeAndCommissionReference <SLChrgAndComssnRef>	[0..1]	Text		1590
	InsuranceCover <InsrncCover>	[0..1]	±		1590
	PlanStatus <PlanSts>	[0..1]	±		1590
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1591

**Constraints**

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

**65.1.26.15.2.1 Frequency <Frqcy>**

*Presence:* [1..1]

*Definition:* Frequency of the investment or divestment.

**Frequency <Frqcy>** contains one of the following elements (see "[Frequency20Choice](#)" on page 1343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1343
Or}	Proprietary <Prtry>	[1..1]	±		1343

**65.1.26.15.2.2 StartDate <StartDt>**

*Presence:* [0..1]

*Definition:* Date the investment plan starts.

*Datatype:* "[ISODate](#)" on page 2521

**65.1.26.15.2.3 EndDate <EndDt>**

*Presence:* [0..1]

*Definition:* Date the investment plan stops.

*Datatype:* "[ISODate](#)" on page 2521

**65.1.26.15.2.4 Quantity <Qty>**

*Presence:* [1..1]

*Definition:* Amount of the periodical payments.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmount1Choice](#)" on page 1318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1318
Or}	Unit <Unit>	[1..1]	Quantity		1318

**65.1.26.15.2.5 GrossAmountIndicator <GrssAmtInd>**

*Presence:* [0..1]

*Definition:* Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

**Datatype:** One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.15.2.6 IncomePreference <IncmPref>

**Presence:** [0..1]

**Definition:** Dividend option chosen by the account owner based on the options offered in the prospectus.

**Datatype:** ["IncomePreference2Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.26.15.2.7 InitialAmount <InitIAmt>

**Presence:** [0..1]

**Definition:** Initial amount or number of initial instalments.

**InitialAmount <InitIAmt>** contains one of the following elements (see ["InitialAmount1Choice"](#) on page 1012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitINbOfInstlmts>	[1..1]	Quantity		1012
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1012

#### 65.1.26.15.2.8 TotalNumberOfInstalments <TtINbOfInstlmts>

**Presence:** [0..1]

**Definition:** Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

**Datatype:** ["Number"](#) on page 2533

#### 65.1.26.15.2.9 RoundingDirection <RndgDrctn>

**Presence:** [0..1]

**Definition:** Indicates the rounding direction when an amount is to be spread over several funds.

**Datatype:** ["RoundingDirection1Code"](#) on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

**65.1.26.15.2.10 SecurityDetails <SctyDtls>**

*Presence:* [1..50]

*Definition:* Security that an investment plan invests in, or from which the investment plan divests.

**SecurityDetails <SctyDtls>** contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1587
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1587
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1588

**65.1.26.15.2.10.1 Quantity <Qty>**

*Presence:* [1..1]

*Definition:* Amount, units or percentage of financial instrument invested or withdrawn.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmountOrPercentage1Choice](#)" on page 2141 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2141
Or	Unit <Unit>	[1..1]	Quantity		2141
Or}	Percentage <Pctg>	[1..1]	Rate		2141

**65.1.26.15.2.10.2 FinancialInstrument <FinInstrm>**

*Presence:* [1..1]

*Definition:* Detailed information about the security or investment fund.

*Impacted by:* [C20 "IdentificationGuideline"](#)

**FinancialInstrument <FinInstrm>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldgg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### 65.1.26.15.2.10.3 CurrencyOfPlan <CcyOfPlan>

*Presence:* [0..1]

*Definition:* When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417



**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.15.2.11 ModifiedCashSettlement <ModfdCshSttlm>**

*Presence:* [0..8]

*Definition:* Cash settlement standing instruction associated to the investment plan and to be either inserted or deleted.

**ModifiedCashSettlement <ModfdCshSttlm>** contains the following elements (see "[CashSettlement4](#)" on page 2175 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2176
	CashAccountDetails <CshAcctDtls>	[0..*]			2176
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2177
	Identification <Id>	[1..1]	±		2178
	AccountOwner <AcctOwnr>	[0..1]	±		2178
	AccountServicer <AcctSvcr>	[0..1]	±		2178
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2179
	AccountOwnerOtherIdentification <AcctOwnrOthrlId>	[0..*]	±		2179
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2179
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2180
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2180
{Or	Code <Cd>	[1..1]	CodeSet		2180
Or}	Proprietary <Prtry>	[1..1]	±		2181
	CashAccountPurpose <CshAcctPurp>	[0..1]			2181
{Or	Code <Cd>	[1..1]	CodeSet		2181
Or}	Proprietary <Prtry>	[1..1]	±		2182
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2182
{Or	Code <Cd>	[1..1]	CodeSet		2182
Or}	Proprietary <Prtry>	[1..1]	±		2182
	DividendPercentage <DvddPctg>	[0..1]	Rate		2183
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2183

**65.1.26.15.2.12 ContractReference <CtrctRef>***Presence:* [0..1]*Definition:* Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.*Datatype:* "Max35Text" on page 2536**65.1.26.15.2.13 RelatedContractReference <RltdCtrctRef>***Presence:* [0..1]*Definition:* Reference of the previous contract to which this savings or withdrawal plan is related.*Datatype:* "Max35Text" on page 2536**65.1.26.15.2.14 ProductIdentification <PdctId>***Presence:* [0..1]*Definition:* Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.*Datatype:* "Max35Text" on page 2536**65.1.26.15.2.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>***Presence:* [0..1]*Definition:* Reference of the underlying service level agreement (SLA) governing fees.*Datatype:* "Max35Text" on page 2536**65.1.26.15.2.16 InsuranceCover <InsrncCover>***Presence:* [0..1]*Definition:* Specifies the type of insurance contract to which the savings investment plan is linked.**InsuranceCover <InsrncCover>** contains one of the following elements (see "[InsuranceType2Choice](#)" on page 1688 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1688
Or}	Proprietary <Prtry>	[1..1]	±		1688

**65.1.26.15.2.17 PlanStatus <PlanSts>***Presence:* [0..1]*Definition:* Status of the savings or withdrawal investment plan.**PlanStatus <PlanSts>** contains one of the following elements (see "[PlanStatus2Choice](#)" on page 2266 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2266
Or}	Proprietary <Prtry>	[1..1]	±		2266

**65.1.26.15.2.18 InstalmentManagerRole <InstlmtMgrRole>**

*Presence:* [0..1]

*Definition:* Role or function of the instalment manager.

**InstalmentManagerRole <InstlmtMgrRole>** contains one of the following elements (see "PartyRole4Choice" on page 1903 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1905

**65.1.26.16 InvestmentPlan17**

*Definition:* Plan that allows investors to schedule periodical investments or divestments, according to pre-defined criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Frequency <Frqcy>	[1..1]	±		1592
	StartDate <StartDt>	[0..1]	Date		1593
	EndDate <EndDt>	[0..1]	Date		1593
	Quantity <Qty>	[1..1]	±		1593
	GrossAmountIndicator <GrssAmtInd>	[0..1]	Indicator		1593
	IncomePreference <IncmPref>	[0..1]	CodeSet		1593
	InitialAmount <InitlAmt>	[0..1]	±		1594
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1594
	RoundingDirection <RndgDrctn>	[0..1]	CodeSet		1594
	SecurityDetails <SctyDtls>	[1..50]			1594
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596
	CashSettlement <CshSttlm>	[0..8]	±		1597
	ContractReference <CtrctRef>	[0..1]	Text		1597
	RelatedContractReference <RltdCtrctRef>	[0..1]	Text		1598
	ProductIdentification <PdctId>	[0..1]	Text		1598
	SLAChargeAndCommissionReference <SLAChrgAndComssnRef>	[0..1]	Text		1598
	InsuranceCover <InsrncCover>	[0..1]	±		1598
	PlanStatus <PlanSts>	[0..1]	±		1598
	InstalmentManagerRole <InstlmtMgrRole>	[0..1]	±		1599

### Constraints

- **AmountRule**

If Quantity/Amount is not present, then GrossAmountIndicator is not allowed.

On Condition

/Quantity/Amount is absent

Following Must be True

/GrossAmountIndicator Must be absent

### 65.1.26.16.1 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the investment or divestment.

**Frequency <Frqcy>** contains one of the following elements (see ["Frequency20Choice"](#) on page 1343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1343
Or}	Proprietary <Prtry>	[1..1]	±		1343

#### 65.1.26.16.2 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Date the investment plan starts.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.26.16.3 EndDate <EndDt>

*Presence:* [0..1]

*Definition:* Date the investment plan stops.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.26.16.4 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Amount of the periodical payments.

**Quantity <Qty>** contains one of the following elements (see ["UnitsOrAmount1Choice"](#) on page 1318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1318
Or}	Unit <Unit>	[1..1]	Quantity		1318

#### 65.1.26.16.5 GrossAmountIndicator <GrssAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether an ordered amount is a gross amount (including transaction overhead). If it is not a gross amount, the ordered amount is a net amount (amount to be invested or redeemed from the fund to which other elements will be added).

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.16.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.26.16.7 InitialAmount <InitlAmt>

*Presence:* [0..1]

*Definition:* Initial amount or number of initial instalments.

**InitialAmount <InitlAmt>** contains one of the following elements (see "[InitialAmount1Choice](#)" on page 1012 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	InitialNumberOfInstalments <InitlNbOfInstlmts>	[1..1]	Quantity		1012
Or}	Amount <Amt>	[1..1]	Amount	C2, C10	1012

#### 65.1.26.16.8 TotalNumberOfInstalments <TtlNbOfInstlmts>

*Presence:* [0..1]

*Definition:* Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

*Datatype:* "[Number](#)" on page 2533

#### 65.1.26.16.9 RoundingDirection <RndgDrctn>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction when an amount is to be spread over several funds.

*Datatype:* "[RoundingDirection1Code](#)" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

#### 65.1.26.16.10 SecurityDetails <SctyDtls>

*Presence:* [1..50]

*Definition:* Security that an investment plan invests in, or from which the investment plan divests.

**SecurityDetails <SctyDtls>** contains the following **Repartition6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	±		1595
	FinancialInstrument <FinInstrm>	[1..1]	±	C20	1595
	CurrencyOfPlan <CcyOfPlan>	[0..1]	CodeSet	C3	1596

#### 65.1.26.16.10.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Amount, units or percentage of financial instrument invested or withdrawn.

**Quantity <Qty>** contains one of the following elements (see "[UnitsOrAmountOrPercentage1Choice](#)" on page 2141 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2141
Or	Unit <Unit>	[1..1]	Quantity		2141
Or}	Percentage <Pctg>	[1..1]	Rate		2141

#### 65.1.26.16.10.2 FinancialInstrument <FinInstrm>

*Presence:* [1..1]

*Definition:* Detailed information about the security or investment fund.

*Impacted by:* [C20 "IdentificationGuideline"](#)

**FinancialInstrument <FinInstrm>** contains the following elements (see "FinancialInstrument87" on page 1280 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1281
	Name <Nm>	[0..1]	Text		1282
	ShortName <ShrtNm>	[0..1]	Text		1282
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1282
	ClassType <ClsTp>	[0..1]	Text		1283
	SecuritiesForm <SciesForm>	[0..1]	CodeSet		1283
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1283
	ProductGroup <PdctGrp>	[0..1]	Text		1283
	BlockedHoldingDetails <BlckdHldgDtls>	[0..1]		C18, C26, C27, C28	1283
	BlockedHolding <BlckdHldg>	[1..1]	CodeSet		1284
	PartialHoldingUnits <PrtlHldgUnits>	[0..1]	Quantity		1284
	HoldingCertificateNumber <HldgCertNb>	[0..1]	Text		1285
	Pledging <Pldgg>	[0..1]	CodeSet		1285
	Collateral <Coll>	[0..1]	CodeSet		1285
	ThirdPartyRights <ThrdPtyRghts>	[0..1]	±		1285
	FundOwnership <FndOwnrsh>	[0..1]	CodeSet		1286
	FundIntention <FndIntntn>	[0..1]	CodeSet		1286
	OperationalStatus <OprlSts>	[0..1]	CodeSet		1286

### Constraints

#### • IdentificationGuideline

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.26.16.10.3 CurrencyOfPlan <CcyOfPlan>

*Presence:* [0..1]

*Definition:* When a fund has multiple currencies within same ISIN, this indicates the currency of the savings or withdrawal plan.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417



**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.16.11 CashSettlement <CshSttlm>**

*Presence:* [0..8]

*Definition:* Cash settlement standing instruction associated to the investment plan.

**CashSettlement <CshSttlm>** contains the following elements (see "[CashSettlement3](#)" on page 2167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2168
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2169
	Identification <Id>	[1..1]	±		2169
	AccountOwner <AcctOwnr>	[0..1]	±		2170
	AccountServicer <AcctSvcr>	[0..1]	±		2170
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2170
	AccountOwnerOtherIdentification <AcctOwnrOthrlid>	[0..*]	±		2171
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2171
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2171
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2172
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountPurpose <CshAcctPurp>	[0..1]			2173
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2174
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174
	DividendPercentage <DvddPctg>	[0..1]	Rate		2174
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2175

**65.1.26.16.12 ContractReference <CtrctRef>**

*Presence:* [0..1]

*Definition:* Reference of the underlying investment contract. In some markets, such as Italy, this might be required to segregate holdings between the same investment account.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.26.16.13 RelatedContractReference <RltdCtrctRef>

*Presence:* [0..1]

*Definition:* Reference of the previous contract to which this savings or withdrawal plan is related.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.26.16.14 ProductIdentification <PdctId>

*Presence:* [0..1]

*Definition:* Identification of the product as designated by the fund manager. In some markets, such as Italy, the financial product or service related to a savings plan or withdrawal plan are identified by a product identification or number.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.26.16.15 SLAChargeAndCommissionReference <SLAChrgAndComssnRef>

*Presence:* [0..1]

*Definition:* Reference of the underlying service level agreement (SLA) governing fees.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.26.16.16 InsuranceCover <InsrncCover>

*Presence:* [0..1]

*Definition:* Specifies the type of insurance contract to which the savings investment plan is linked.

**InsuranceCover <InsrncCover>** contains one of the following elements (see ["InsuranceType2Choice" on page 1688](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1688
Or}	Proprietary <Prtry>	[1..1]	±		1688

#### 65.1.26.16.17 PlanStatus <PlanSts>

*Presence:* [0..1]

*Definition:* Status of the savings or withdrawal investment plan.

**PlanStatus <PlanSts>** contains one of the following elements (see ["PlanStatus2Choice" on page 2266](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2266
Or}	Proprietary <Prtry>	[1..1]	±		2266

**65.1.26.16.18 InstalmentManagerRole <InstlmtMgrRole>***Presence:* [0..1]*Definition:* Role or function of the instalment manager.

**InstalmentManagerRole <InstlmtMgrRole>** contains one of the following elements (see "PartyRole4Choice" on page 1903 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1905

**65.1.26.17 OtherDistributionStrategy1***Definition:* Other distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrtgyTp>	[0..1]	Text		1599
	Target <Trgt>	[0..1]	±		1599
	AdditionalInformation <AddtlInf>	[0..1]	±		1599

**65.1.26.17.1 DistributionStrategyType <DstrbtnStrtgyTp>***Presence:* [0..1]*Definition:* Type of distribution strategy.*Datatype:* "Max35Text" on page 2536**65.1.26.17.2 Target <Trgt>***Presence:* [0..1]*Definition:* Choice of formats for the specification of whether the product is aimed at the type of return profile.

**Target <Trgt>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

**65.1.26.17.3 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the target market and the investor's risk tolerance.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.18 DistributionStrategy1Choice

*Definition:* Choice of formats for the specification of a distribution strategy.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

#### 65.1.26.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Distribution strategy expressed as a code.

*Datatype:* "InvestorType3Code" on page 2464

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

#### 65.1.26.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Distribution strategy expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.19 OtherInvestmentNeed1

*Definition:* Other investment need.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>	[0..1]	Text		1601
	Target <Trgt>	[0..1]			1601
{Or	Code <Cd>	[1..1]	CodeSet		1601
Or}	Proprietary <Prtry>	[1..1]	±		1601
	AdditionalInformation <AddtlInf>	[0..1]	±		1602

#### 65.1.26.19.1 ClientObjectivesAndNeedsType <ClntObjctvsAndNeedsTp>

*Presence:* [0..1]

*Definition:* Type of return profile.

*Datatype:* "Max35Text" on page 2536

#### 65.1.26.19.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of return profile.

**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1601
Or}	Proprietary <Prtry>	[1..1]	±		1601

##### 65.1.26.19.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a code.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

##### 65.1.26.19.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.19.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the Investor's investment requirements.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.20 MainFundOrderDeskLocation1

*Definition:* U-003-2009 Addition and Modification of choice component. S-009-2009 They are not valid business options in the redemption processing context. S-015-2009 Add new data elements to indicate time zone.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1602
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1603
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

#### 65.1.26.20.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which it is authorised to commercialise the fund.

*Impacted by:* [C11 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.26.20.2 TimeZoneOffset <TmZoneOffset>**

*Presence:* [1..1]

*Definition:* Offset of the reporting time before or after 00: 00 hour UTC.

**TimeZoneOffset <TmZoneOffset>** contains the following **UTCOffset1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

**65.1.26.20.2.1 Sign <Sgn>**

*Presence:* [1..1]

*Definition:* Indicates whether the offset is before or after 00: 00 hour UTC.

*Datatype:* One of the following values must be used (see ["PlusOrMinusIndicator"](#) on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.26.20.2.2 NumberOfHours <NbOfHrs>**

*Presence:* [1..1]

*Definition:* Offset of the reporting time, in hours, before or after 00: 00 hour UTC.

*Datatype:* ["ISOTime"](#) on page 2538

**65.1.26.21 ProcessingCharacteristics7**

*Definition:* Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1604
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1605
	ApplicationForm <ApplForm>	[1..1]	Indicator		1605
	SignatureType <SgntrTp>	[1..1]	CodeSet		1605
	AmountIndicator <AmtInd>	[0..1]	Indicator		1606
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1606
	Rounding <Rndg>	[0..1]	CodeSet		1606
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1606
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1606
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1607
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1607
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1607
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1608
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1608
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C24, C31	1608
	LimitedPeriod <LtdPrd>	[0..1]	Text		1609
	SettlementCycle <SttlmCycl>	[0..1]			1609
{Or	TradePlus <TPlus>	[1..1]	Quantity		1609
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1610
	AdditionalInformation <AddtlInf>	[0..*]	±		1610

### Constraints

#### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 65.1.26.21.1 DealingCurrencyAccepted <DealgCcyAccptd>

Presence: [0..\*]

Definition: Currency in which a redemption is accepted.



Impacted by: [C2 "ActiveCurrency"](#)

Datatype: ["ActiveCurrencyCode" on page 2417](#)

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.26.21.2 RedemptionAuthorisation <RedAuthstn>

Presence: [0..1]

Definition: Specifies whether an application form is required for a redemption.

RedemptionAuthorisation <RedAuthstn> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1605
	SignatureType <SgntrTp>	[1..1]	CodeSet		1605

#### 65.1.26.21.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.21.2.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: ["SignatureType1Code" on page 2496](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

**65.1.26.21.3 AmountIndicator <AmtInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed by amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.21.4 UnitsIndicator <UnitsInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed as a number of units.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.21.5 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* ["RoundingDirection2Code" on page 2492](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**65.1.26.21.6 PercentageIndicator <PctgInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed as a percentage of holding.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.21.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>**

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see "MainFundOrderDeskLocation1" on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1602
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1603
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

#### 65.1.26.21.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the redemptions are done.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.26.21.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the redemption is done.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.21.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to redeem can be given.

*Datatype:* "ISOTime" on page 2538

**65.1.26.21.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>**

*Presence:* [0..1]

*Definition:* Dealing cut-off timeframe.

*Impacted by:* [C22 "NonWorkingDayAdjustmentRule"](#), [C29 "TradeMinusRule"](#)

**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see ["TimeFrame4"](#) on page 1152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1153
	TradeMinus <TMns>	[0..1]	Quantity		1153
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1153
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1154

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**65.1.26.21.12 DealConfirmationTime <DealConfTm>**

*Presence:* [0..1]

*Definition:* Time at which the deal confirmation is issued.

*Datatype:* ["ISOTime"](#) on page 2538

**65.1.26.21.13 DealConfirmationTimeFrame <DealConfTmFrame>**

*Presence:* [0..1]

*Definition:* Time frame within which the deal confirmation is issued.

*Impacted by:* [C24 "NonWorkingDayAdjustmentRule"](#), [C31 "TradePlusRule"](#)

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame6" on page 1154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1154
	TradePlus <TPlus>	[0..1]	Quantity		1154
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1155
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1155

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradePlus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 65.1.26.21.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.21.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1609
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1610

##### 65.1.26.21.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2533

### 65.1.26.21.15.2 RenunciationPlus <RPlus>

*Presence:* [1..1]

*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

*Datatype:* "Number" on page 2533

### 65.1.26.21.16 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the redemption processing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.22 BeneficiaryDrawdown1

*Definition:* Information about the beneficiary of a drawdown.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BeneficiaryType <BnfcryTp>	[0..1]			1610
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1611
	DeathUnderLimit <DthUdrLmt>	[0..1]	Indicator		1611
	AdditionalInformation <AddtlInf>	[0..*]	±		1611

#### 65.1.26.22.1 BeneficiaryType <BnfcryTp>

*Presence:* [0..1]

*Definition:* Type of beneficiary.

**BeneficiaryType <BnfcryTp>** contains one of the following **BeneficiaryType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1610
Or}	Proprietary <Prtry>	[1..1]	±		1611

#### 65.1.26.22.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of beneficiary expressed as a code.

*Datatype:* "BeneficiaryType1Code" on page 2418

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

#### 65.1.26.22.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of beneficiary expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.22.2 DeathUnderLimit <DthUdrLmt>

*Presence:* [0..1]

*Definition:* Indicates whether the original pension holder was under the age limit when deceased. Typically, in the UK this limit is seventy-five.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.22.3 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the recipient of the drawdown.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.26.23 DistributionStrategy1

*Definition:* Distribution strategy criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutionOnly <ExctnOnly>	[0..1]	±		1612
	ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsdSvcs>	[0..1]	±		1612
	InvestmentAdvice <InvstmtAdv<	[0..1]	±		1612
	PortfolioManagement <PrftlMgmt>	[0..1]	±		1613
	Other <Othr>	[0..1]	±		1613

#### 65.1.26.23.1 ExecutionOnly <ExctnOnly>

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold on an execution-only basis. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06010.

**ExecutionOnly <ExctnOnly>** contains one of the following elements (see ["DistributionStrategy1Choice"](#) on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

#### 65.1.26.23.2 ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsdSvcs>

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold with an appropriateness test or to a non-advised service. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06020.

**ExecutionWithAppropriatenessTestOrNonAdvisedServices <ExctnWthApprprtnssTstOrNonAdvsdSvcs>** contains one of the following elements (see ["DistributionStrategy1Choice"](#) on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

#### 65.1.26.23.3 InvestmentAdvice <InvstmtAdv<

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold if investment advice has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06030.



**InvestmentAdvice <InvstmtAdv>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

#### 65.1.26.23.4 PortfolioManagement <PrtlMgmt>

*Presence:* [0..1]

*Definition:* Specifies to whom the product can be sold if portfolio management has been provided. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 06040.

**PortfolioManagement <PrtlMgmt>** contains one of the following elements (see "DistributionStrategy1Choice" on page 1600 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1600
Or}	Proprietary <Prtry>	[1..1]	±		1600

#### 65.1.26.23.5 Other <Othr>

*Presence:* [0..1]

*Definition:* Other distribution strategy.

**Other <Othr>** contains the following elements (see "OtherDistributionStrategy1" on page 1599 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DistributionStrategyType <DstrbtnStrtgyTp>	[0..1]	Text		1599
	Target <Trgt>	[0..1]	±		1599
	AdditionalInformation <AddtlInf>	[0..1]	±		1599

#### 65.1.26.24 OtherTargetMarket1

*Definition:* Other target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TargetMarketType <TrgtMktTp>	[1..1]	Text		1613
	AdditionalInformation <AddtlInf>	[0..1]	±		1614

#### 65.1.26.24.1 TargetMarketType <TrgtMktTp>

*Presence:* [1..1]

*Definition:* Type of target market parameter.

Datatype: "Max350Text" on page 2536

#### 65.1.26.24.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the target market.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.26.25 InvestmentPlanCharacteristics1

Definition: Characteristics of an investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlanType <PlanTp>	[1..1]			1614
{Or	Code <Cd>	[1..1]	CodeSet		1615
Or}	Proprietary <Prtry>	[1..1]	±		1615
	Frequency <Frqcy>	[0..1]	±		1615
	TotalNumberOfInstalments <TtlNbOfInstlmts>	[0..1]	Quantity		1615
	Quantity <Qty>	[0..1]	±		1616
	PlanContinuation <PlanContn>	[0..1]	Indicator		1616
	AdditionalSubscription <AddtlSbcpt>	[0..1]	Indicator		1616
	AdditionalSubscriptionFunction <AddtlSbcptFctn>	[0..1]	Indicator		1616
	AdditionalInformation <AddtlInf>	[0..*]	±		1616

#### Constraints

- **InvestmentPlanRule**

If PlanType/Code is not INVP the AdditionalSubscription and AdditionalSubscriptionFunction must not be present.

#### 65.1.26.25.1 PlanType <PlanTp>

Presence: [1..1]

Definition: Type of investment plan.

**PlanType <PlanTp>** contains one of the following **InvestmentFundPlanType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1615
Or}	Proprietary <Prtry>	[1..1]	±		1615

#### 65.1.26.25.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of investment fund plan expressed as a code.

*Datatype:* "InvestmentFundPlanType1Code" on page 2456

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

#### 65.1.26.25.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of investment fund plan expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.25.2 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the investment plan.

**Frequency <Frqcy>** contains one of the following elements (see "[Frequency20Choice](#)" on page 1343 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1343
Or}	Proprietary <Prtry>	[1..1]	±		1343

#### 65.1.26.25.3 TotalNumberOfInstalments <TtINbOfInstlmts>

*Presence:* [0..1]

*Definition:* Total number of times the amount must be invested at the predefined frequency as of the start date of the investment plan.

*Datatype:* ["Number" on page 2533](#)

#### 65.1.26.25.4 Quantity <Qty>

*Presence:* [0..1]

*Definition:* Minimum amount of the periodical payments. (If there is no maximum, then '0' must be specified for the Amount or Units.)

**Quantity <Qty>** contains one of the following elements (see ["UnitsOrAmount1Choice" on page 1318](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	1318
Or}	Unit <Unit>	[1..1]	Quantity		1318

#### 65.1.26.25.5 PlanContinuation <PlanConttn>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to continue the savings plan after the end date.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.25.6 AdditionalSubscription <AddtlSbcpt>

*Presence:* [0..1]

*Definition:* Indicates whether it is possible to subscribe to additional instalments over and above that permitted by the savings plan frequency.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.25.7 AdditionalSubscriptionFunction <AddtlSbcptFctn>

*Presence:* [0..1]

*Definition:* Indicates whether any additional instalments will reduce the period of the life of the savings investment plan.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.25.8 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the investment plan.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

## 65.1.26.26 ProcessingCharacteristics6

*Definition:* Processing characteristics linked to a switch order for an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealGcCyAccptd>	[0..*]	CodeSet	C2	1618
	SwitchAuthorisation <SwchAuthstn>	[0..1]			1618
	ApplicationForm <ApplForm>	[1..1]	Indicator		1618
	SignatureType <SgnrTp>	[1..1]	CodeSet		1618
	AmountIndicator <AmtInd>	[0..1]	Indicator		1619
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1619
	Rounding <Rndg>	[0..1]	CodeSet		1619
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1619
	DealingFrequency <DealGFrqcy>	[0..1]	CodeSet		1620
	DealingFrequencyDescription <DealGFrqcyDesc>	[0..1]	Text		1620
	DealingCutOffTime <DealGCutOffTm>	[0..1]	Time		1620
	DealingCutOffTimeFrame <DealGCutOffTmFrame>	[0..1]	±	C22, C29	1621
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1621
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	1621
	LimitedPeriod <LtdPrd>	[0..1]	Text		1622
	SettlementCycle <SttlmCycl>	[0..1]			1622
{Or	TradePlus <TPlus>	[1..1]	Quantity		1622
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1623
	AdditionalInformation <AddtlInf>	[0..*]	±		1623

**Constraints**

- **DealingCutOffTimeFrameRule**

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

**65.1.26.26.1 DealingCurrencyAccepted <DealgCcyAccptd>**

*Presence:* [0..\*]

*Definition:* Currency in which a switch is accepted.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.26.2 SwitchAuthorisation <SwtchAuthstn>**

*Presence:* [0..1]

*Definition:* Specifies whether an application form is required for a switch.

**SwitchAuthorisation <SwtchAuthstn>** contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1618
	SignatureType <SgntrTp>	[1..1]	CodeSet		1618

**65.1.26.26.2.1 ApplicationForm <ApplForm>**

*Presence:* [1..1]

*Definition:* Indicates whether a physical application form is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.26.2.2 SignatureType <SgntrTp>**

*Presence:* [1..1]

*Definition:* Type of signature.

*Datatype:* "SignatureType1Code" on page 2496

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

### 65.1.26.26.3 AmountIndicator <AmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether a switch can be instructed by amount.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.26.26.4 UnitsIndicator <UnitsInd>

*Presence:* [0..1]

*Definition:* Indicates whether a switch can be instructed as a number of units.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.26.26.5 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

### 65.1.26.26.6 MainFundOrderDeskLocation <MainFndOrdrDskLctn>

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation <MainFndOrdrDskLctn>** contains the following elements (see "MainFundOrderDeskLocation1" on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1602
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1603
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

#### 65.1.26.26.7 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the switches are done.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.26.26.8 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the switch is done.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.26.9 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to switch can be given.

*Datatype:* "ISOTime" on page 2538



**65.1.26.26.10 DealingCutOffTimeFrame <DealgCutOffTmFrame>**

*Presence:* [0..1]

*Definition:* Dealing cut-off timeframe.

*Impacted by:* [C22 "NonWorkingDayAdjustmentRule"](#), [C29 "TradeMinusRule"](#)

**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see ["TimeFrame4"](#) on page 1152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1153
	TradeMinus <TMns>	[0..1]	Quantity		1153
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1153
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1154

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**65.1.26.26.11 DealConfirmationTime <DealConfTm>**

*Presence:* [0..1]

*Definition:* Time at which the deal confirmation is issued.

*Datatype:* ["ISOTime"](#) on page 2538

**65.1.26.26.12 DealConfirmationTimeFrame <DealConfTmFrame>**

*Presence:* [0..1]

*Definition:* Time frame within which the deal confirmation is issued.

*Impacted by:* [C25 "NonWorkingDayAdjustmentRule"](#), [C32 "TradePlusRule"](#)

**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame5" on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1152
	TradePlus <TPlus>	[0..1]	Quantity		1152
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1152
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1152

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 65.1.26.26.13 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be switched.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.26.14 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1622
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1623

##### 65.1.26.26.14.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2533

**65.1.26.26.14.2 RenunciationPlus <RPlus>**

*Presence:* [1..1]

*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

*Datatype:* "Number" on page 2533

**65.1.26.26.15 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the switch processing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.26.27 ProcessingCharacteristics5**

*Definition:* Processing characteristics linked to a redemption from an investment fund or alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DealingCurrencyAccepted <DealgCcyAccptd>	[0..*]	CodeSet	C2	1624
	RedemptionAuthorisation <RedAuthstn>	[0..1]			1625
	ApplicationForm <ApplForm>	[1..1]	Indicator		1625
	SignatureType <SgntrTp>	[1..1]	CodeSet		1625
	AmountIndicator <AmtInd>	[0..1]	Indicator		1626
	UnitsIndicator <UnitsInd>	[0..1]	Indicator		1626
	Rounding <Rndg>	[0..1]	CodeSet		1626
	PercentageIndicator <PctgInd>	[0..1]	Indicator		1626
	MainFundOrderDeskLocation <MainFndOrdrDskLctn>	[0..1]	±		1626
	DealingFrequency <DealgFrqcy>	[0..1]	CodeSet		1627
	DealingFrequencyDescription <DealgFrqcyDesc>	[0..1]	Text		1627
	DealingCutOffTime <DealgCutOffTm>	[0..1]	Time		1627
	DealingCutOffTimeFrame <DealgCutOffTmFrame>	[0..1]	±	C22, C29	1628
	DealConfirmationTime <DealConfTm>	[0..1]	Time		1628
	DealConfirmationTimeFrame <DealConfTmFrame>	[0..1]	±	C25, C32	1628
	LimitedPeriod <LtdPrd>	[0..1]	Text		1629
	SettlementCycle <SttlmCycl>	[0..1]			1629
{Or	TradePlus <TPlus>	[1..1]	Quantity		1629
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1630
	AdditionalInformation <AddtlInf>	[0..*]	±		1630

### Constraints

#### • DealingCutOffTimeFrameRule

If DealingCutOffTimeFrame is present, then DealingCutOffTimeFrame/OtherTimeFrameDescription or DealingCutOffTimeFrame/ReferToOrderDesk or DealingCutOffTimeFrame/TradeMinus must be present.

On Condition

/DealingCutOffTimeFrame is present

Following Must be True

/DealingCutOffTimeFrame/OtherTimeFrameDescription Must be present

Or /DealingCutOffTimeFrame/TradeMinus Must be present

Or /DealingCutOffTimeFrame/ReferToOrderDesk Must be present

#### 65.1.26.27.1 DealingCurrencyAccepted <DealgCcyAccptd>

Presence: [0..\*]

Definition: Currency in which a redemption is accepted.

Impacted by: [C2 "ActiveCurrency"](#)

Datatype: ["ActiveCurrencyCode" on page 2417](#)

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.26.27.2 RedemptionAuthorisation <RedAuthstn>

Presence: [0..1]

Definition: Specifies whether an application form is required for a redemption.

RedemptionAuthorisation <RedAuthstn> contains the following **Forms1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ApplicationForm <ApplForm>	[1..1]	Indicator		1625
	SignatureType <SgntrTp>	[1..1]	CodeSet		1625

#### 65.1.26.27.2.1 ApplicationForm <ApplForm>

Presence: [1..1]

Definition: Indicates whether a physical application form is required.

Datatype: One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.26.27.2.2 SignatureType <SgntrTp>

Presence: [1..1]

Definition: Type of signature.

Datatype: ["SignatureType1Code" on page 2496](#)

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

**65.1.26.27.3 AmountIndicator <AmtInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed by amount.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.27.4 UnitsIndicator <UnitsInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed as a number of units.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.27.5 Rounding <Rndg>**

*Presence:* [0..1]

*Definition:* Indicates the rounding direction applied to nearest unit.

*Datatype:* ["RoundingDirection2Code" on page 2492](#)

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

**65.1.26.27.6 PercentageIndicator <PctgInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a redemption can be instructed as a percentage of holding.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.27.7 MainFundOrderDeskLocation <MainFndOrdrDskLctn>**

*Presence:* [0..1]

*Definition:* Location of the main fund order desk.

**MainFundOrderDeskLocation** <MainFndOrdrDskLctn> contains the following elements (see "MainFundOrderDeskLocation1" on page 1602 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1602
	TimeZoneOffSet <TmZoneOffSet>	[1..1]			1603
	Sign <Sgn>	[1..1]	Indicator		1603
	NumberOfHours <NbOfHrs>	[1..1]	Time		1603

#### 65.1.26.27.8 DealingFrequency <DealgFrqcy>

*Presence:* [0..1]

*Definition:* Frequency at which the redemptions are done.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.26.27.9 DealingFrequencyDescription <DealgFrqcyDesc>

*Presence:* [0..1]

*Definition:* Description of frequency at which the redemption is done.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.27.10 DealingCutOffTime <DealgCutOffTm>

*Presence:* [0..1]

*Definition:* Latest time at which an order to redeem can be given.

*Datatype:* "ISOTime" on page 2538

**65.1.26.27.11 DealingCutOffTimeFrame <DealgCutOffTmFrame>**

*Presence:* [0..1]

*Definition:* Dealing cut-off timeframe.

*Impacted by:* [C22 "NonWorkingDayAdjustmentRule"](#), [C29 "TradeMinusRule"](#)

**DealingCutOffTimeFrame <DealgCutOffTmFrame>** contains the following elements (see ["TimeFrame4"](#) on page 1152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1153
	TradeMinus <TMns>	[0..1]	Quantity		1153
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1153
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1154

**Constraints**

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradeMinus Must be present

- **TradeMinusRule**

If TradeMinus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradeMinus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

**65.1.26.27.12 DealConfirmationTime <DealConfTm>**

*Presence:* [0..1]

*Definition:* Time at which the deal confirmation is issued.

*Datatype:* ["ISOTime"](#) on page 2538

**65.1.26.27.13 DealConfirmationTimeFrame <DealConfTmFrame>**

*Presence:* [0..1]

*Definition:* Time frame within which the deal confirmation is issued.

*Impacted by:* [C25 "NonWorkingDayAdjustmentRule"](#), [C32 "TradePlusRule"](#)



**DealConfirmationTimeFrame <DealConfTmFrame>** contains the following elements (see "TimeFrame5" on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OtherTimeFrameDescription <OthrTmFrameDesc>	[0..1]	Text		1152
	TradePlus <TPlus>	[0..1]	Quantity		1152
	NonWorkingDayAdjustment <NonWorkgDayAdjstmnt>	[0..1]	CodeSet		1152
	ReferToOrderDesk <RefrToOrdrDsk>	[0..1]	CodeSet		1152

#### Constraints

- **NonWorkingDayAdjustmentRule**

If NonWorkingDayAdjustment is present then TradeMinus must also be present.

On Condition

/NonWorkingDayAdjustment is present

Following Must be True

/TradePlus Must be present

- **TradePlusRule**

If TradePlus is present then NonWorkingDayAdjustment must also be present.

On Condition

/TradePlus is present

Following Must be True

/NonWorkingDayAdjustment Must be present

#### 65.1.26.27.14 LimitedPeriod <LtdPrd>

*Presence:* [0..1]

*Definition:* Specific period, for example, for some guaranteed funds, during which the units/shares may be redeemed.

*Datatype:* "Max350Text" on page 2536

#### 65.1.26.27.15 SettlementCycle <SttlmCycl>

*Presence:* [0..1]

*Definition:* Settlement timing.

**SettlementCycle <SttlmCycl>** contains one of the following **TimeFrame8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TradePlus <TPlus>	[1..1]	Quantity		1629
Or}	RenunciationPlus <RPlus>	[1..1]	Quantity		1630

##### 65.1.26.27.15.1 TradePlus <TPlus>

*Presence:* [1..1]

*Definition:* Number of days after the trade date (T) for the standard settlement timeframe.

*Datatype:* "Number" on page 2533

**65.1.26.27.15.2 RenunciationPlus <RPlus>**

*Presence:* [1..1]

*Definition:* Number of days after the renunciation of title documents are received used to define the standard settlement timeframe.

*Datatype:* "Number" on page 2533

**65.1.26.27.16 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the redemption processing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

**65.1.26.28 InvestmentRestrictions3**

*Definition:* Investment restrictions linked to the trading of an investment fund, or an alternative/hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>	[0..1]	Amount	C2, C10	1631
	MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>	[0..1]	Quantity		1632
	MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>	[0..1]	Amount	C2, C10	1632
	MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>	[0..1]	Quantity		1632
	MaximumRedemptionAmount <MaxRedAmt>	[0..1]	Amount	C2, C10	1632
	MaximumRedemptionUnits <MaxRedUnits>	[0..1]	Quantity		1633
	MinimumRedemptionPercentage <MinRedPctg>	[0..1]	Quantity		1633
	OtherRedemptionRestrictions <OthrRedRstrctns>	[0..1]	Text		1633
	MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>	[0..1]	Amount	C2, C10	1633
	MinimumSwitchSubscriptionUnits <MinSwchSbcptUnits>	[0..1]	Quantity		1634
	MaximumSwitchRedemptionAmount <MaxSwchRedAmt>	[0..1]	Amount	C2, C10	1634
	MaximumSwitchRedemptionUnits <MaxSwchRedUnits>	[0..1]	Quantity		1634
	OtherSwitchRestrictions <OthrSwchRstrctns>	[0..1]	Text		1634
	MinimumHoldingAmount <MinHldgAmt>	[0..1]	Amount	C2, C10	1634
	MinimumHoldingUnits <MinHldgUnits>	[0..1]	Quantity		1635
	MinimumHoldingPeriod <MinHldgPrd>	[0..1]	Text		1635
	HoldingTransferable <HldgTrfbl>	[0..1]	CodeSet		1635
	AdditionalInformation <AddtlInf>	[0..*]	±		1635

#### 65.1.26.28.1 MinimumInitialSubscriptionAmount <MinInitlSbcptAmt>

*Presence:* [0..1]

*Definition:* Minimum initial quantity of securities, expressed as an amount, that must be purchased at subscription.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **65.1.26.28.2 MinimumInitialSubscriptionUnits <MinInitlSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum initial number of units/shares that must be purchased.

*Datatype:* "Number" on page 2533

#### **65.1.26.28.3 MinimumSubsequentSubscriptionAmount <MinSbsqntSbcptAmt>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as an amount, that must be purchased.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### **Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### **65.1.26.28.4 MinimumSubsequentSubscriptionUnits <MinSbsqntSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as number of units/shares that must be purchased.

*Datatype:* "Number" on page 2533

#### **65.1.26.28.5 MaximumRedemptionAmount <MaxRedAmt>**

*Presence:* [0..1]

*Definition:* Maximum quantity of securities, expressed as an amount, that can be sold.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.28.6 MaximumRedemptionUnits <MaxRedUnits>**

*Presence:* [0..1]

*Definition:* Maximum number of shares/units that may be redeemed on a single dealing day.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.28.7 MinimumRedemptionPercentage <MinRedPctg>**

*Presence:* [0..1]

*Definition:* Minimum percentage of holding that may be redeemed.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.28.8 OtherRedemptionRestrictions <OthrRedRstrctns>**

*Presence:* [0..1]

*Definition:* Specifies any other restrictions that may limit an investor's ability to redeem.

*Datatype:* "Max350Text" on page 2536

**65.1.26.28.9 MinimumSwitchSubscriptionAmount <MinSwchSbcptAmt>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as an amount, that must be purchased.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.28.10 MinimumSwitchSubscriptionUnits <MinSwtchSbcptUnits>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities, expressed as number of units/shares that must be purchased.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.28.11 MaximumSwitchRedemptionAmount <MaxSwtchRedAmt>**

*Presence:* [0..1]

*Definition:* Maximum quantity of securities, expressed as an amount, that can be sold.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.28.12 MaximumSwitchRedemptionUnits <MaxSwtchRedUnits>**

*Presence:* [0..1]

*Definition:* Maximum number of shares/units that may be redeemed on a single dealing day.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.28.13 OtherSwitchRestrictions <OthrSwtchRstrctns>**

*Presence:* [0..1]

*Definition:* Specifies any other restrictions that may limit an investor's ability to switch.

*Datatype:* "Max350Text" on page 2536

**65.1.26.28.14 MinimumHoldingAmount <MinHldgAmt>**

*Presence:* [0..1]

*Definition:* Minimum value of units that must be maintained to avoid automatic redemption.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.28.15 MinimumHoldingUnits <MinHldgUnits>**

*Presence:* [0..1]

*Definition:* Minimum number of units that must be maintained to avoid automatic redemption.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.28.16 MinimumHoldingPeriod <MinHldgPrd>**

*Presence:* [0..1]

*Definition:* Description of the period, that may be a number of days or weeks or another way of describing the period, during which the units/shares must be held following their issue before redemption will be permitted.

*Datatype:* "Max70Text" on page 2537

**65.1.26.28.17 HoldingTransferable <HldgTrfbl>**

*Presence:* [0..1]

*Definition:* Specifies how registered investors are able to transfer some or all of their holdings to third parties.

*Datatype:* "HoldingTransferable1Code" on page 2448

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

**65.1.26.28.18 AdditionalInformation <AddtlInf>**

*Presence:* [0..\*]

*Definition:* Additional information about the investment restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.26.29 HoldBackInformation3

*Definition:* Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1636
	Amount <Amt>	[0..1]	Amount	C2, C10	1636
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1637
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1637
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1638
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1638

#### 65.1.26.29.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of gating or a hold back.

*Datatype:* "GateHoldBack1Code" on page 2445

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

#### 65.1.26.29.2 Amount <Amt>

*Presence:* [0..1]

*Definition:* Value of the redemption amount subject to gating or a hold back.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.26.29.3 ExpectedReleaseDate <XpctdRlsDt>

*Presence:* [0..1]

*Definition:* Date on which the gated amount or hold back amount is expected to be released.

*Datatype:* "ISODate" on page 2521

### 65.1.26.29.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* New identification of the security.

**FinancialInstrumentIdentification <FinInstrmId>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

**65.1.26.29.5 FinancialInstrumentName <FinInstrmNm>**

*Presence:* [0..1]

*Definition:* New name of the security.

*Datatype:* "Max350Text" on page 2536

**65.1.26.29.6 RedemptionCompletion <RedCmpltn>**

*Presence:* [0..1]

*Definition:* Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.

*Datatype:* "RedemptionCompletion1Code" on page 2482

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

**65.1.26.30 FundOrderData6**

*Definition:* Extract of trade data for an investment fund switch order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1638
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1639
	AdditionalAmount <AddtlAmt>	[0..1]	±		1639
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	1639
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	1640

**Constraints**

- **SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

**65.1.26.30.1 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.30.2 SettlementMethod <SttlmMtd>**

*Presence:* [0..1]

*Definition:* Method by which the transaction is settled.

*Datatype:* "DeliveryReceiptType2Code" on page 2435

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).

**65.1.26.30.3 AdditionalAmount <AddtlAmt>**

*Presence:* [0..1]

*Definition:* Choice between additional cash in or resulting cash out.

**AdditionalAmount <AddtlAmt>** contains one of the following elements (see "AdditionalAmount1Choice" on page 1643 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	1643
Or}	ResultingCashOut <RsltCshOut>	[1..1]	Amount	C3, C12	1643

**65.1.26.30.4 UnitCurrency <UnitCcy>**

*Presence:* [0..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.30.5 QuotedCurrency <QtdCcy>**

*Presence:* [0..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{<UnitCcy>} = \text{<XchgRate>} \times \text{<QtdCcy>}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.31 ExpectedExecutionDetails2**

*Definition:* Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1640
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1640

**65.1.26.31.1 ExpectedTradeDateTime <XpctdTradDtTm>**

*Presence:* [0..1]

*Definition:* Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.

**ExpectedTradeDateTime <XpctdTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.26.31.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>**

*Presence:* [0..1]

*Definition:* Expected date at which the financial instruments will be exchanged against cash.

Datatype: "ISODate" on page 2521

### 65.1.26.32 OrderWaiver1

*Definition:* Information about how an order is to be processed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderWaiverReason <OrdWvrRsn>	[0..*]			1641
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641
	InformationValue <InfVal>	[0..1]	Text		1642

#### Constraints

- **WaiverElementRule**

Either OrderWaiverReason or InformationValue must be present. Both may be present.

#### 65.1.26.32.1 OrderWaiverReason <OrdWvrRsn>

*Presence:* [0..\*]

*Definition:* Reason why the order has to be handled differently, probably in a manual fashion, because, for example, the investment manager has agreed a waiver to the terms.

**OrderWaiverReason <OrdWvrRsn>** contains one of the following **OrderWaiverReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1641
Or}	Proprietary <Prtry>	[1..1]	±		1641

##### 65.1.26.32.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the waiver expressed as a code.

Datatype: "OrderWaiverReason1Code" on page 2471

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

##### 65.1.26.32.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the waiver expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.32.2 InformationValue <InfVal>

*Presence:* [0..1]

*Definition:* Additional information about the order waiver.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.26.33 Equalisation1

*Definition:* Part of an investor's subscription amount that is held by the fund in order to pay incentive / performance fees at the end of the fiscal year.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1642
	Rate <Rate>	[0..1]	Rate		1642

##### 65.1.26.33.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the equalisation.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* "[ActiveOrHistoricCurrencyAndAmount](#)" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

##### 65.1.26.33.2 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used for calculation of the equalisation.

*Datatype:* "PercentageRate" on page 2534

### 65.1.26.34 AdditionalAmount1Choice

*Definition:* Choice between additional cash in or resulting cash out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AdditionalCashIn <AddtlCshIn>	[1..1]	Amount	C3, C12	1643
Or}	ResultingCashOut <RsltgCshOut>	[1..1]	Amount	C3, C12	1643

#### 65.1.26.34.1 AdditionalCashIn <AddtlCshIn>

*Presence:* [1..1]

*Definition:* Additional amount of money paid by the investor in addition to the switch redemption amount.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.26.34.2 ResultingCashOut <RsltgCshOut>

*Presence:* [1..1]

*Definition:* Amount of money that results from a switch-out, that is not reinvested in another investment fund, and is repaid to the investor.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### 65.1.26.35 ExpectedExecutionDetails4

*Definition:* Expected trade date and expected settlement date of the order execution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1644
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1644

#### Constraints

- **DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

#### 65.1.26.35.1 ExpectedTradeDateTime <XpctdTradDtTm>

*Presence:* [0..1]

*Definition:* Expected date or expected date and time at which a price will be applied according to the terms of the prospectus.

**ExpectedTradeDateTime <XpctdTradDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.26.35.2 ExpectedCashSettlementDate <XpctdCshSttlmDt>

*Presence:* [0..1]

*Definition:* Date of a payment, for example, a prepayment date.

*Datatype:* "ISODate" on page 2521

### 65.1.26.36 FundOrderData5

*Definition:* Extract of trade data for an investment fund order.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1645
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	1646
	UnitsNumber <UnitsNb>	[0..1]	Quantity		1646
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1646
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1647
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1648
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1648
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	1648
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	1648

### Constraints

- **OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

#### 65.1.26.36.1 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order instruction for which the status is given.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

**Constraints**

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

**65.1.26.36.2 FinancialInstrumentDetails <FinInstrmDtls>**

*Presence:* [0..1]

*Definition:* Financial instrument information of the individual order instruction for which the status is given.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClssTp>	[0..1]	Text		1296
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**65.1.26.36.3 UnitsNumber <UnitsNb>**

*Presence:* [0..1]

*Definition:* Number of investment fund units subscribed or redeemed.

*Datatype:* "DecimalNumber" on page 2533

**65.1.26.36.4 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* When the status message is used for a subscription, this is the amount of money to be invested in the fund.

Net Amount = Quantity \* Price.

When the status message is used for a redemption, this is the amount of money to be received following redemption of fund units.

Net Amount = (Quantity \* Price) - (Fees + Taxes).

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

### 65.1.26.36.5 GrossAmount <GrssAmt>

*Presence:* [0..1]

*Definition:* When the status message is used for a subscription, this is the amount of money to be paid by the investor when subscribing to fund units.

Gross amount = (Quantity \* Price) + (Fees + Taxes).

When the status message is used for a redemption, this is the amount of money to be redeemed from the fund.

Gross Amount = Quantity \* Price.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.26.36.6 HoldingsRedemptionRate <HldgsRedRate>**

*Presence:* [0..1]

*Definition:* Portion of the investor's holdings, in a specific investment fund/fund class, that is redeemed.

*Datatype:* "PercentageRate" on page 2534

**65.1.26.36.7 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument in the individual order.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.26.36.8 UnitCurrency <UnitCcy>**

*Presence:* [0..1]

*Definition:* Currency from which the quoted currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.26.36.9 QuotedCurrency <QtdCcy>**

*Presence:* [0..1]

*Definition:* Currency into which the unit currency is converted in an exchange rate calculation.

$1 \times \text{UnitCcy} = \text{XchgRate} \times \text{QtdCcy}$ .

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.26.37 HoldBackInformation2

*Definition:* Information about hold back and gating.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1649
	Amount <Amt>	[0..1]	Amount	C2, C10	1649
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1650
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1650
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1651
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1651
	FinalConfirmation <FnlConf>	[0..1]	Indicator		1651

#### 65.1.26.37.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of gating or a hold back.

*Datatype:* "GateHoldBack1Code" on page 2445

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

#### 65.1.26.37.2 Amount <Amt>

*Presence:* [0..1]

*Definition:* Value of the redemption amount subject to gating or a hold back.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.26.37.3 ExpectedReleaseDate <XpctdRlsDt>

*Presence:* [0..1]

*Definition:* Date on which the gated amount or hold back amount is expected to be released.

*Datatype:* "ISODate" on page 2521

### 65.1.26.37.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* New identification of the security.

**FinancialInstrumentIdentification <FinInstrmId>** contains one of the following elements (see "SecurityIdentification25Choice" on page 1303 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		1303
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		1303
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		1304
Or	RIC <RIC>	[1..1]	IdentifierSet		1304
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		1304
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		1304
Or	CTA <CTA>	[1..1]	IdentifierSet		1304
Or	QUICK <QUICK>	[1..1]	IdentifierSet		1304
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		1304
Or	Dutch <Dtch>	[1..1]	IdentifierSet		1305
Or	Valoren <Vlrn>	[1..1]	IdentifierSet		1305
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		1305
Or	Belgian <Belgn>	[1..1]	IdentifierSet		1305
Or	Common <Cmon>	[1..1]	IdentifierSet		1305
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]			1305
	Identification <Id>	[1..1]	Text		1306
	IdentificationSource <IdSrc>	[1..1]	±		1306

**65.1.26.37.5 FinancialInstrumentName <FinInstrmNm>***Presence:* [0..1]*Definition:* New name of the security.*Datatype:* "Max350Text" on page 2536**65.1.26.37.6 RedemptionCompletion <RedCmpltn>***Presence:* [0..1]*Definition:* Specifies whether or not additional redemption order instructions are required in order for the redemption to be completed.*Datatype:* "RedemptionCompletion1Code" on page 2482

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

**65.1.26.37.7 FinalConfirmation <FnlConf>***Presence:* [0..1]*Definition:* Indicates whether or not this is the final redemption confirmation in the execution of a gated redemption.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.26.38 InvestmentFundRole2Choice***Definition:* Choice of formats for a Role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1651
Or}	Proprietary <Prtry>	[1..1]	±		1653

**65.1.26.38.1 Code <Cd>***Presence:* [1..1]*Definition:* Role expressed as a code.*Datatype:* "InvestmentFundRole2Code" on page 2457

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.



### 65.1.26.38.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.26.39 InvestmentFundsOrderBreakdown2

*Definition:* An investor's instruction to either subscribe or redeem an amount of money or its equivalent, for example, other assets, into or out of an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderBreakdownType <OrdrBrkdwnTp>	[1..1]			1653
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654
	Amount <Amt>	[1..1]	Amount	C2, C10	1654

#### 65.1.26.39.1 OrderBreakdownType <OrdrBrkdwnTp>

*Presence:* [1..1]

*Definition:* Type of order breakdown.

**OrderBreakdownType <OrdrBrkdwnTp>** contains one of the following **OrderBreakdownType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1653
Or}	Proprietary <Prtry>	[1..1]	±		1654

##### 65.1.26.39.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Order breakdown type expressed as a code.

*Datatype:* "[FundOrderType5Code](#)" on page 2444

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.

CodeName	Name	Definition
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

#### 65.1.26.39.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Order breakdown type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.26.39.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Portion of the net amount that is attributed to an order type.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.26.40 FundOrderType4Choice

*Definition:* Choice of formats for the order type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1655
Or}	Proprietary <Prtry>	[1..1]	±		1655

### 65.1.26.40.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a code.

*Datatype:* "FundOrderType8Code" on page 2444

CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

### 65.1.26.40.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.27 Market

### 65.1.27.1 PlaceOfTradeIdentification1Choice

*Definition:* Context, or geographic environment, in which trading parties may meet in order to negotiate and execute trades among themselves.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Country <Ctry>	[1..1]	CodeSet	C11	1656
Or	Exchange <Xchg>	[1..1]	IdentifierSet		1656
Or	Party <Pty>	[1..1]	IdentifierSet	C7	1656
Or}	OverTheCounter <OverTheCntr>	[1..1]	Text		1656

#### 65.1.27.1.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which the transaction is executed.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

##### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.27.1.2 Exchange <Xchg>

*Presence:* [1..1]

*Definition:* Exchange at which the transaction is executed.

*Datatype:* "MICIdentifier" on page 2529

#### 65.1.27.1.3 Party <Pty>

*Presence:* [1..1]

*Definition:* Party's location at which the transaction is executed.

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2522

##### Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

#### 65.1.27.1.4 OverTheCounter <OverTheCntr>

*Presence:* [1..1]

*Definition:* Place at which the Over-the-Counter (OTC) transaction is executed.

*Datatype:* "Max35Text" on page 2536

## 65.1.27.2 TargetMarket5Choice

*Definition:* Choice of formats for the specification of how a financial product is in scope of a target market parameter.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1657
Or}	Other <Othr>	[1..1]	CodeSet		1657

### 65.1.27.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies how the financial product is in scope of the target market parameter.

*Datatype:* "InvestorType4Code" on page 2464

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

### 65.1.27.2.2 Other <Othr>

*Presence:* [1..1]

*Definition:* Specifies whether the financial product is in scope of the target market parameter.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

## 65.1.27.3 OtherTargetMarketRiskTolerance1

*Definition:* Risk tolerance target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RiskToleranceType <RskTlrnceTp>	[0..1]	Text		1658
	Target <Trgt>	[0..1]			1658
{Or	Code <Cd>	[1..1]	CodeSet		1658
Or}	Proprietary <Prtry>	[1..1]	±		1658
	AdditionalInformation <AddtlInf>	[0..1]	±		1659

### 65.1.27.3.1 RiskToleranceType <RskTlrnceTp>

*Presence:* [0..1]

*Definition:* Type of risk tolerance.

*Datatype:* "Max35Text" on page 2536

### 65.1.27.3.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of risk tolerance.

**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1658
Or}	Proprietary <Prtry>	[1..1]	±		1658

#### 65.1.27.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a code.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.27.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.27.3.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor's risk tolerance.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

### 65.1.27.4 OtherTargetMarketLossBearing1

*Definition:* Loss bearing target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AbilityToBearLossesType <AbltyToBearLossesTp>	[0..1]	Text		1659
	Target <Trgt>	[0..1]			1659
{Or	Code <Cd>	[1..1]	CodeSet		1660
Or}	Proprietary <Prtry>	[1..1]	±		1660
	AdditionalInformation <AddtlInf>	[0..1]	±		1660

#### 65.1.27.4.1 AbilityToBearLossesType <AbltyToBearLossesTp>

*Presence:* [0..1]

*Definition:* Type of loss bearing.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.27.4.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of loss bearing.

**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1660
Or}	Proprietary <Prtry>	[1..1]	±		1660

#### 65.1.27.4.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a code.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.27.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.27.4.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor's loss bearing.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.27.5 OtherTargetMarketInvestorKnowledge1

*Definition:* Investor knowledge and experience target market.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorKnowledgeType <InvstrKnwldgTp>	[0..1]	Text		1661
	Target <Trgt>	[0..1]			1661
{Or	Code <Cd>	[1..1]	CodeSet		1661
Or}	Proprietary <Prtry>	[1..1]	±		1661
	AdditionalInformation <AddtlInf>	[0..1]	±		1662

#### 65.1.27.5.1 InvestorKnowledgeType <InvstrKnwldgTp>

*Presence:* [0..1]

*Definition:* Type of investor knowledge and experience.

*Datatype:* "Max35Text" on page 2536

#### 65.1.27.5.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of knowledge or experience of the investor.

**Target <Trgt>** contains one of the following **TargetMarket1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1661
Or}	Proprietary <Prtry>	[1..1]	±		1661

##### 65.1.27.5.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a code.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

##### 65.1.27.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.27.5.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor knowledge and experience.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.27.6 OtherTargetMarketInvestor1

*Definition:* Investor type target market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestorType <InvstrTp>	[0..1]	Text		1662
	Target <Trgt>	[0..1]			1662
{Or	Type <Tp>	[1..1]	CodeSet		1663
Or	Other <Othr>	[1..1]	CodeSet		1663
Or}	Proprietary <Prtry>	[1..1]	±		1663
	AdditionalInformation <AddtlInf>	[0..1]	±		1663

##### 65.1.27.6.1 InvestorType <InvstrTp>

*Presence:* [0..1]

*Definition:* Type of investor.

*Datatype:* "[Max35Text](#)" on page 2536

##### 65.1.27.6.2 Target <Trgt>

*Presence:* [0..1]

*Definition:* Choice of formats for the specification of whether the product is aimed at the type of investor.

**Target <Trgt>** contains one of the following **TargetMarket3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		1663
Or	Other <Othr>	[1..1]	CodeSet		1663
Or}	Proprietary <Prtry>	[1..1]	±		1663

#### 65.1.27.6.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies how a financial product is in scope of the target market parameter.

*Datatype:* "InvestorType2Code" on page 2464

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

#### 65.1.27.6.2.2 Other <Othr>

*Presence:* [1..1]

*Definition:* Specifies whether a financial product is in scope of the target market parameter.

*Datatype:* "TargetMarket1Code" on page 2499

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

#### 65.1.27.6.2.3 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies whether the product is aimed at the target expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.27.6.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the target market and the investor type.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation15" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

## 65.1.28 Miscellaneous

### 65.1.28.1 Extension1

*Definition:* Additional information that can not be captured in the structured fields and/or any other specific block.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[1..1]	Text		1664
	Text <Txt>	[1..1]	Text		1664

#### Constraints

- **ExtensionRule**

This component may not be used without the explicit approval of the Registration Authority and without strict usage rules published by the Registration Authority.

#### 65.1.28.1.1 PlaceAndName <PlcAndNm>

*Presence:* [1..1]

*Definition:* Name qualifying the information provided in the Text field, and place where this information should be inserted.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.1.2 Text <Txt>

*Presence:* [1..1]

*Definition:* Text of the extension.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.2 InvestorProfile2

*Definition:* Information about actions that may be taken on an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1665
{Or	Code <Cd>	[1..1]	CodeSet		1666
Or}	Proprietary <Prtry>	[1..1]	±		1666
	Status <Sts>	[0..1]			1667
{Or	Code <Cd>	[1..1]	CodeSet		1667
Or}	Proprietary <Prtry>	[1..1]	±		1667
	Treasury <Trsr>	[0..1]			1668
	Date <Dt>	[1..1]	Date		1668
	TraderType <TradrTp>	[1..1]			1668
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669
	Rate <Rate>	[1..1]	Rate		1669
	HighFrequencyTrading <HghFrqcyTradg>	[0..1]			1669
	Date <Dt>	[0..1]	Date		1669
	SettlementFrequency <SttlmFrqcy>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670
	ConsolidationType <CnsldtnTp>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671
	MarketMaker <MktMakr>	[0..1]			1671
	ContractPeriod <CtrctPrd>	[0..1]			1671
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672
	Compliance <Cmplc>	[0..1]	Indicator		1672
	MaximumSpread <MaxSprd>	[0..1]	Rate		1672
	Discount <Dscnt>	[0..1]	Rate		1672

#### 65.1.28.2.1 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of profile.

**Type <Tp>** contains one of the following **ProfileType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1666
Or}	Proprietary <Prtry>	[1..1]	±		1666

#### 65.1.28.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of profile expressed as a code.

*Datatype:* "ProfileType1Code" on page 2481

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

#### 65.1.28.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of profile expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.2.2 Status <Sts>

*Presence:* [0..1]

*Definition:* Status of the profile.

**Status <Sts>** contains one of the following **InvestorProfileStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1667
Or}	Proprietary <Prtry>	[1..1]	±		1667

#### 65.1.28.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Investor profile status expressed as a code.

*Datatype:* "InvestorProfileStatus1Code" on page 2463

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

#### 65.1.28.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investor profile status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.2.3 Treasury <Trsr>

*Presence:* [0..1]

*Definition:* Information about the profile for treasury trading.

**Treasury <Trsr>** contains the following **TreasuryProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[1..1]	Date		1668
	TraderType <TradrTp>	[1..1]			1668
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669
	Rate <Rate>	[1..1]	Rate		1669

#### 65.1.28.2.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Execution date of treasury bond trade.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.28.2.3.2 TraderType <TradrTp>

*Presence:* [1..1]

*Definition:* Type of party that performs trading operations, for example, investor or custodian.

**TraderType <TradrTp>** contains one of the following **PartyRole5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1668
Or}	Proprietary <Prtry>	[1..1]	±		1669

##### 65.1.28.2.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "[PartyRole1Code](#)" on page 2473



CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

#### 65.1.28.2.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.2.3.3 Rate <Rate>

*Presence:* [1..1]

*Definition:* Tax rate.

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.28.2.4 HighFrequencyTrading <HghFrqcyTradg>

*Presence:* [0..1]

*Definition:* Information about the profile for high frequency trading.

**HighFrequencyTrading <HghFrqcyTradg>** contains the following **HighFrequencyTradingProfile1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Date <Dt>	[0..1]	Date		1669
	SettlementFrequency <SttlmFrqcy>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670
	ConsolidationType <CnsltdtnTp>	[0..1]			1670
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671

#### 65.1.28.2.4.1 Date <Dt>

*Presence:* [0..1]

*Definition:* Date on which the investor starts high frequency trading.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.2.4.2 SettlementFrequency <SttlmFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of settlement.

**SettlementFrequency <SttlmFrqcy>** contains one of the following **SettlementFrequency1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1670
Or}	Proprietary <Prtry>	[1..1]	±		1670

##### 65.1.28.2.4.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement frequency expressed as a code.

*Datatype:* "EventFrequency10Code" on page 2437

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

##### 65.1.28.2.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.28.2.4.3 ConsolidationType <CnsltdnTp>

*Presence:* [0..1]

*Definition:* Specifies whether consolidation is done generally or at the level of segregated account.

**ConsolidationType <CnsltdnTp>** contains one of the following **ConsolidationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1671
Or}	Proprietary <Prtry>	[1..1]	±		1671

**65.1.28.2.4.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Consolidation type expressed as a code.*Datatype:* "ConsolidationType1Code" on page 2429

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

**65.1.28.2.4.3.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Consolidation type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.28.2.5 MarketMaker <MktMakr>***Presence:* [0..1]*Definition:* Information about the profile for a market marker.

**MarketMaker <MktMakr>** contains the following **MarketMakerProfile2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ContractPeriod <CtrctPrd>	[0..1]			1671
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672
	Compliance <Cmplc>	[0..1]	Indicator		1672
	MaximumSpread <MaxSprd>	[0..1]	Rate		1672
	Discount <Dscnt>	[0..1]	Rate		1672

**65.1.28.2.5.1 ContractPeriod <CtrctPrd>***Presence:* [0..1]*Definition:* Period of the contract.

**ContractPeriod <CtrctPrd>** contains the following **DateTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1672
	ToDateTime <ToDtTm>	[0..1]	DateTime		1672

#### 65.1.28.2.5.1.1 FromDateTime <FrDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

*Datatype:* "ISODateTime" on page 2522

#### 65.1.28.2.5.1.2 ToDateTime <ToDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the range ends.

*Datatype:* "ISODateTime" on page 2522

#### 65.1.28.2.5.2 Compliance <Cmplc>

*Presence:* [0..1]

*Definition:* Indicates whether the market maker is obligated to comply with the requirements of the contract it holds with the exchange or is exempt from these obligations.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.2.5.3 MaximumSpread <MaxSprd>

*Presence:* [0..1]

*Definition:* Percentage of the variation between the maximum accepted minimum and maximum value of an action.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.28.2.5.4 Discount <Dscnt>

*Presence:* [0..1]

*Definition:* Rate of discount.

*Datatype:* "PercentageRate" on page 2534

### 65.1.28.3 ResidualCash2

*Definition:* Specifies how the cash in the account that is awaiting investment is to be dealt with.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1673
	Currency <Ccy>	[0..1]	CodeSet	C2	1673

**65.1.28.3.1 Indicator <Ind>**

*Presence:* [1..1]

*Definition:* Indicates whether the cash in the account awaiting investment is to be transferred.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.3.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.4 ResidualCash1**

*Definition:* Specifies whether there is cash in the account awaiting investment.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ResidualCashIndicator <RsdICshInd>	[1..1]	Indicator		1673
	Currency <Ccy>	[0..1]	CodeSet	C2	1673

**65.1.28.4.1 ResidualCashIndicator <RsdICshInd>**

*Presence:* [1..1]

*Definition:* Indicates whether there is cash in the account awaiting investment.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.4.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.5 CashAll1**

*Definition:* Specifies whether all assets in the portfolio should be liquidated and transferred as cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1674
	Currency <Ccy>	[0..1]	CodeSet	C2	1674

**65.1.28.5.1 Indicator <Ind>**

*Presence:* [1..1]

*Definition:* Indicates whether all assets in the portfolio are to be liquidated and transferred as cash.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.5.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.6 AllOtherCash1**

*Definition:* Specifies whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Indicator <Ind>	[1..1]	Indicator		1675
	Currency <Ccy>	[0..1]	CodeSet	C2	1675

**65.1.28.6.1 Indicator <Ind>**

*Presence:* [1..1]

*Definition:* Indicates whether all remaining assets in a portfolio not listed for transfer should be liquidated and transferred as cash.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.6.2 Currency <Ccy>**

*Presence:* [0..1]

*Definition:* Currency of the cash.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.7 CopyInformation5**

*Definition:* Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1675
	OriginalReceiver <OrgnIRcvr>	[0..1]	IdentifierSet	C1	1675

**65.1.28.7.1 CopyIndicator <CpyInd>**

*Presence:* [1..1]

*Definition:* Indicates whether the message is a copy.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.7.2 OriginalReceiver <OrgnIRcvr>**

*Presence:* [0..1]

*Definition:* Original receiver of the message, if this message is a copy.

*Impacted by:* [C1 "AnyBIC"](#)

*Datatype:* ["AnyBICDec2014Identifier"](#) on page 2522

**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.

**65.1.28.8 Notification2**

*Definition:* Information about the type of notification required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	Text		1676
	Required <Reqr>	[1..1]	Indicator		1676
	DistributionType <DstrbtnTp>	[0..1]	±		1676

**65.1.28.8.1 NotificationType <NtfctnTp>**

*Presence:* [1..1]

*Definition:* Type of notification.

*Datatype:* "Max35Text" on page 2536

**65.1.28.8.2 Required <Reqr>**

*Presence:* [1..1]

*Definition:* Indicates whether the notification is required.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.8.3 DistributionType <DstrbtnTp>**

*Presence:* [0..1]

*Definition:* Specifies how the notification is sent.

**DistributionType <DstrbtnTp>** contains one of the following elements (see "InformationDistribution1Choice" on page 1862 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1863
Or}	Proprietary <Prtry>	[1..1]	±		1863

**65.1.28.9 ModificationScope45**

*Definition:* Scope of the modification to be applied on an identified set of information.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1677
	AdditionalInformation <AddtlInf>	[1..*]	±		1677

#### 65.1.28.9.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.28.9.2 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Additional information such as remarks or notes that must be conveyed about the party and or limitations and restrictions.

**AdditionalInformation <AddtlInf>** contains the following elements (see "AdditionalInformation13" on page 1677 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

#### 65.1.28.10 AdditiononallInformation13

*Definition:* Restrictions, remarks or notes that may be applied to an account or investment plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Limitation <Lmttn>	[0..1]	Text		1678
	AdditionalInformation <AddtlInf>	[0..1]	Text		1678
	AccountValidation <AcctVldtn>	[0..1]	Text		1678
	Type <Tp>	[0..1]	Text		1678
	Regulator <Rgltr>	[0..1]	±		1678
	Status <Sts>	[0..1]			1679
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679
	Period <Prd>	[0..1]			1679
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

#### 65.1.28.10.1 Limitation <Lmttn>

*Presence:* [0..1]

*Definition:* Restrictions and/or limitations on the account or party.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.10.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information such as remarks or notes that must be conveyed about the account management activity or party.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.10.3 AccountValidation <AcctVldtn>

*Presence:* [0..1]

*Definition:* Information or instructions for the by-passing of validations in the account registration process.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.10.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type or identification of the remark, note, limitation or restriction.

*Datatype:* "Max35Text" on page 2536

#### 65.1.28.10.5 Regulator <Rgltr>

*Presence:* [0..1]

*Definition:* Regulator that may have to be informed about the remark, note, limitation or restriction.

**Regulator <Rgltr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.28.10.6 Status <Sts>

*Presence:* [0..1]

*Definition:* Status of the remark, note, limitation or restriction.

**Status <Sts>** contains one of the following **RestrictionStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1679
Or}	Proprietary <Prtry>	[1..1]	±		1679

##### 65.1.28.10.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status of the restriction expressed as a code.

*Datatype:* "[RestrictionStatus1Code](#)" on page 2491

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

##### 65.1.28.10.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the restriction expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.28.10.7 Period <Prd>

*Presence:* [0..1]

*Definition:* Period of the restriction.

**Period <Prd>** contains the following **DateTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		1680
	ToDateTime <ToDtTm>	[0..1]	DateTime		1680

#### 65.1.28.10.7.1 FromDateTime <FrDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

*Datatype:* ["ISODateTime" on page 2522](#)

#### 65.1.28.10.7.2 ToDateTime <ToDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the range ends.

*Datatype:* ["ISODateTime" on page 2522](#)

### 65.1.28.11 SecurityClassificationType2Choice

*Definition:* Choice between a CFI code and an other type of identification for the classification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CFI <CFI>	[1..1]	IdentifierSet		1680
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1680

#### 65.1.28.11.1 CFI <CFI>

*Presence:* [1..1]

*Definition:* Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification.

*Datatype:* ["CFIOct2015Identifier" on page 2524](#)

#### 65.1.28.11.2 AlternateClassification <AltrnClssfctn>

*Presence:* [1..1]

*Definition:* Other type of classification of the financial instrument.

**AlternateClassification <AltrnClssfctn>** contains the following elements (see ["GenericIdentification3" on page 1364](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1364
	Issuer <Issr>	[0..1]	Text		1364

### 65.1.28.12 PreviousYear2Choice

*Definition:* Choice between selected investment plans issued during previous years or all investment plans.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AllPreviousYears <AllPrvsYrs>	[1..1]	Text		1681
Or}	SpecificPreviousYears <SpfcPrvsYrs>	[1..*]	Year		1681

#### Constraints

- **SpecificPreviousYearsGuideline**

SpecificPreviousYears must not contain the current year.

#### 65.1.28.12.1 AllPreviousYears <AllPrvsYrs>

*Presence:* [1..1]

*Definition:* Selection of all investment plans.

*Datatype:* "PreviousAll" on page 2537

#### 65.1.28.12.2 SpecificPreviousYears <SpfcPrvsYrs>

*Presence:* [1..\*]

*Definition:* Selection of investment plans issued during previous years.

*Datatype:* "ISOYear" on page 2538

### 65.1.28.13 LinkedMessage1Choice

*Definition:* Reference to a message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]	±		1681
Or	OtherReference <OthrRef>	[1..1]	±		1682
Or}	RelatedReference <RltdRef>	[1..1]	±		1682

#### 65.1.28.13.1 PreviousReference <PrvsRef>

*Presence:* [1..1]

*Definition:* Linked previous reference.

**PreviousReference <PrvsRef>** contains the following elements (see "AdditionalReference3" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

**65.1.28.13.2 OtherReference <OthrRef>***Presence:* [1..1]*Definition:* Linked other reference.**OtherReference <OthrRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

**65.1.28.13.3 RelatedReference <RltdRef>***Presence:* [1..1]*Definition:* Linked related reference.**RelatedReference <RltdRef>** contains the following elements (see "[AdditionalReference3](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1366
	ReferenceIssuer <RefIssr>	[0..1]	±		1366
	MessageName <MsgNm>	[0..1]	Text		1366

**65.1.28.14 CurrencyDesignation1***Definition:* Information about the designation of a currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CurrencyDesignation <CcyDsgnt>	[0..1]	CodeSet		1682
	Location <Lctn>	[0..1]	CodeSet	C11	1683
	AdditionalInformation <AddtlInf>	[0..1]	Text		1683

**65.1.28.14.1 CurrencyDesignation <CcyDsgnt>***Presence:* [0..1]*Definition:* Specifies whether the currency is settled offshore or onshore.*Datatype:* "CurrencyDesignation1Code" on page 2434

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

**65.1.28.14.2 Location <Lctn>**

*Presence:* [0..1]

*Definition:* Offshore location of the currency.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.28.14.3 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional information about the off-shore currency.

*Datatype:* "Max350Text" on page 2536

**65.1.28.15 PerformanceFactors1**

*Definition:* Performance factors of the investment fund / fund class.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1683
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1683
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1684
	NormalPerformance <NrmlPrfrmnc>	[0..1]	Quantity		1684

**Constraints**

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

**65.1.28.15.1 CorporateActionFactor <CorpActnFctr>**

*Presence:* [0..1]

*Definition:* Value of the NAV before all corporate events of the valuation date, divided by the value of the NAV after the corporate event.

*Datatype:* "DecimalNumber" on page 2533

**65.1.28.15.2 CumulativeCorporateActionFactor <CmltvCorpActnFctr>**

*Presence:* [0..1]

*Definition:* Value of the NAV before a corporate event, divided by the value of the NAV after the corporate event, accumulated for a number of corporate events over the defined period of time.

*Datatype:* "DecimalNumber" on page 2533

### 65.1.28.15.3 AccumulationPeriod <AcmltnPrd>

*Presence:* [0..1]

*Definition:* Period of time for the calculation of the cumulative corporate action factor.

**AccumulationPeriod <AcmltnPrd>** contains the following elements (see ["DatePeriodDetails"](#) on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		1144
	ToDate <ToDt>	[1..1]	Date		1144

### 65.1.28.15.4 NormalPerformance <NrmlPrfrmnc>

*Presence:* [0..1]

*Definition:* Normal performance value of the NAV.

*Datatype:* ["DecimalNumber"](#) on page 2533

### 65.1.28.16 ModificationScope21

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1684
	IssueAllocation <IsseAllcn>	[1..1]	±		1684

#### 65.1.28.16.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* ["DataModification1Code"](#) on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.28.16.2 IssueAllocation <IsseAllcn>

*Presence:* [1..1]

*Definition:* Information about the investment account ownership with respect to new issue allocation for a hedge fund.



**IssueAllocation <IsseAllcn>** contains the following elements (see "[NewIssueAllocation2](#)" on page 1688 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1689
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1689
	DeMinimus <DeMnms>	[0..1]	±		1689

### 65.1.28.17 CancellationReason32Choice

*Definition:* Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	Text		1685
Or}	Proprietary <Prtry>	[1..1]	±		1685

#### 65.1.28.17.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cancellation reason expressed as a code.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.28.17.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cancellation reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

### 65.1.28.18 SignatureType1Choice

*Definition:* Choice of formats for the signature type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1685
Or}	Proprietary <Prtry>	[1..1]	±		1686

#### 65.1.28.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Signature type expressed as a code.

*Datatype:* "SignatureType2Code" on page 2497

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

### 65.1.28.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Signature type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.19 CancellationRight1Choice

*Definition:* Choice of formats for the cancellation right.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1686
Or}	Proprietary <Prtry>	[1..1]	±		1687

#### 65.1.28.19.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cancellation right expressed as a code.

*Datatype:* "CancellationRight1Code" on page 2420

CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.

CodeName	Name	Definition
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

#### 65.1.28.19.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cancellation right expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.20 ClassificationType32Choice

*Definition:* Choice of format for the classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1687
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1687

##### 65.1.28.20.1 ClassificationFinancialInstrument <ClssfctnFinInstrm>

*Presence:* [1..1]

*Definition:* ISO 10962 Classification of Financial Instrument (CFI).

*Datatype:* "[CFIOct2015Identifier](#)" on page 2524

##### 65.1.28.20.2 AlternateClassification <AltrnClssfctn>

*Presence:* [1..1]

*Definition:* Proprietary classification of financial instrument.

**AlternateClassification <AltrnCIsstfctn>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.21 InsuranceType2Choice

*Definition:* Choice of formats for the specification of the type of insurance.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1688
Or}	Proprietary <Prtry>	[1..1]	±		1688

#### 65.1.28.21.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of insurance contract expressed as a code.

*Datatype:* "Insurance1Code" on page 2449

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

#### 65.1.28.21.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of insurance contract expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.22 NewIssueAllocation2

*Definition:* Information about the investment account ownership with respect to new issue allocation for a hedge fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Restricted <Rstrctd>	[1..1]	Indicator		1689
	ExemptPersonReason <XmptPrsnRsn>	[0..1]	Text		1689
	DeMinimus <DeMnms>	[0..1]	±		1689

#### 65.1.28.22.1 Restricted <Rstrctd>

*Presence:* [1..1]

*Definition:* Indicates whether the investor is eligible to participate in the profits and losses from a new issue.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.22.2 ExemptPersonReason <XmptPrsnRsn>

*Presence:* [0..1]

*Definition:* Reason for exemption.

*Datatype:* ["Max350Text"](#) on page 2536

#### 65.1.28.22.3 DeMinimus <DeMnms>

*Presence:* [0..1]

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

**DeMinimus <DeMnms>** contains one of the following elements (see ["DeMinimus1Choice"](#) on page 1155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DeMinimusApplicable <DeMnmsApbl>	[1..1]	±		1155
Or}	DeMinimusNotApplicable <DeMnmsNotApbl>	[1..1]	±		1155

#### 65.1.28.23 Liability1Choice

*Definition:* Choice of formats for liability.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1689
Or}	Proprietary <Prtry>	[1..1]	±		1690

#### 65.1.28.23.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Liability expressed as a code.

*Datatype:* ["Liability1Code"](#) on page 2466

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

### 65.1.28.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Liability expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.24 LevelOfControl1Choice

*Definition:* Choice of formats for the level of control.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1690
Or}	Proprietary <Prtry>	[1..1]	±		1690

#### 65.1.28.24.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Level of control expressed as a code.

*Datatype:* "[LevelOfControl1Code](#)" on page 2465

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.
VIEW	View	Account may be viewed only.

#### 65.1.28.24.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Level of control expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.25 CopyInformation4

*Definition:* Information provided when the message is a copy of a previous message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CopyIndicator <CpyInd>	[1..1]	Indicator		1691
	OriginalReceiver <OrgnlRcvr>	[0..1]	IdentifierSet	C7	1691

##### 65.1.28.25.1 CopyIndicator <CpyInd>

*Presence:* [1..1]

*Definition:* Indicates whether the message is a copy.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

##### 65.1.28.25.2 OriginalReceiver <OrgnlRcvr>

*Presence:* [0..1]

*Definition:* Original receiver of the message, if this message is a copy.

*Impacted by:* [C7 "AnyBIC"](#)

*Datatype:* "[AnyBICIdentifier](#)" on page 2522

##### Constraints

##### • AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

#### 65.1.28.26 DeMinimusNotApplicable1

*Definition:* Conditions applicable when the investor is not covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RestrictedPersonReason <RstrctdPrsnRsn>	[1..1]	Text		1692

**65.1.28.26.1 RestrictedPersonReason <RstrctdPrsnRsn>**

*Presence:* [1..1]

*Definition:* Reason for the restricted person.

*Datatype:* "Max350Text" on page 2536

**65.1.28.27 DeMinimusApplicable1**

*Definition:* Conditions applicable when the investor is covered by the "de minimis" exemption.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NewIssuePermission <NewIssePrmssn>	[1..1]	Indicator		1692
	Percentage <Pctg>	[0..1]	Rate		1692

**65.1.28.27.1 NewIssuePermission <NewIssePrmssn>**

*Presence:* [1..1]

*Definition:* Indicates whether the investor permits its beneficial owners that are restricted persons, if any, to participate in profits and losses allocated to the investor that are attribute to new issue securities.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.27.2 Percentage <Pctg>**

*Presence:* [0..1]

*Definition:* Percentage of the new issue profits and losses that it receives to beneficial owners that are restricted persons.

*Datatype:* "PercentageRate" on page 2534

**65.1.28.28 FATCAForm1Choice**

*Definition:* Choice of formats for the type of Foreign Account Tax Compliance Act (FATCA) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1692
Or}	Proprietary <Prtry>	[1..1]	±		1693

**65.1.28.28.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

*Datatype:* "FATCAFormType1Code" on page 2441



CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

#### 65.1.28.28.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.29 FundCashOutBreakdown3

*Definition:* Breakdown of cash movements out of a fund as a result of investment funds transactions, eg, redemptions or switch-out.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1694
	UnitsNumber <UnitsNb>	[0..1]	±		1694
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1695
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1695
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1696
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696
	ChargeDetails <ChrgDtls>	[0..*]	±		1696
	CommissionDetails <ComssnDtls>	[0..*]	±		1697
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1697

#### 65.1.28.29.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.29.2 UnitsNumber <UnitsNb>

*Presence:* [0..1]

*Definition:* Amount of the cash flow out, expressed as a number of units.

**UnitsNumber <UnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

### 65.1.28.29.3 NewAmountIndicator <NewAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.28.29.4 InvestmentFundTransactionOutType <InvstmtFndTxOutTp>

*Presence:* [1..1]

*Definition:* Type of transaction that resulted in the cash-out movement, for example, redemption, switch-out.

**InvestmentFundTransactionOutType <InvstmtFndTxOutTp>** contains one of the following **InvestmentFundTransactionOutType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695

#### 65.1.28.29.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[InvestmentFundTransactionOutType1Code](#)" on page 2462

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

#### 65.1.28.29.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.29.5 OriginalOrderQuantityType <OrgnlOrdQtyTp>

*Presence:* [1..1]

*Definition:* Specifies how the original order was expressed that resulted in the cash-out movement, that is cash or units.

**OriginalOrderQuantityType <OrgnlOrdQtyTp>** contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696

##### 65.1.28.29.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a code.

*Datatype:* "[OrderQuantityType2Code](#)" on page 2470

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

##### 65.1.28.29.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.29.6 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Charge for the placement of an order.

**ChargeDetails <ChrgDtls>** contains the following elements (see "Charge26" on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1128
{Or	Code <Cd>	[1..1]	CodeSet		1128
Or}	Proprietary <Prtry>	[1..1]	±		1129
	ChargeApplied <ChrgApld>	[1..1]			1129
{Or	Amount <Amt>	[1..1]	Amount	C2	1129
Or}	Rate <Rate>	[1..1]	Rate		1130

#### 65.1.28.29.7 CommissionDetails <ComssnDtls>

*Presence:* [0..\*]

*Definition:* Information related to the commission applied to an order, for example, back-end or front-end commission.

**CommissionDetails <ComssnDtls>** contains the following elements (see "Commission21" on page 1142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1142
{Or	Code <Cd>	[1..1]	CodeSet		1143
Or}	Proprietary <Prtry>	[1..1]	±		1143
	CommissionApplied <ComssnApld>	[1..1]			1143
{Or	Amount <Amt>	[1..1]	Amount	C2	1143
Or}	Rate <Rate>	[1..1]	Rate		1144

#### 65.1.28.29.8 SettlementCurrency <SttlmCcy>

*Presence:* [0..1]

*Definition:* Settlement currency for the transaction.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.28.30 FundCashInBreakdown3

*Definition:* Breakdown of cash movements into a fund as a result of investment funds transactions, eg, subscriptions or switch-in.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1698
	UnitsNumber <UnitsNb>	[0..1]	±		1698
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1699
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1699
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1700
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700
	ChargeDetails <ChrgDtls>	[0..*]	±		1701
	CommissionDetails <ComssnDtls>	[0..*]	±		1701
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1701

#### 65.1.28.30.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount of cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.30.2 UnitsNumber <UnitsNb>

*Presence:* [0..1]

*Definition:* Amount of the cash flow in, expressed as a number of units.

**UnitsNumber <UnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.30.3 NewAmountIndicator <NewAmtInd>

*Presence:* [0..1]

*Definition:* Indicates whether the cash flow is an item that did not appear on the previously sent report, for example, because it was received close to cut-off time.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.30.4 InvestmentFundTransactionInType <InvstmtFndTxInTp>

*Presence:* [1..1]

*Definition:* Type of transaction that resulted in the cash-in movement, for example, subscription, switch-in.

**InvestmentFundTransactionInType <InvstmtFndTxInTp>** contains one of the following **InvestmentFundTransactionInType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700

##### 65.1.28.30.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[InvestmentFundTransactionInType1Code](#)" on page 2461

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

#### 65.1.28.30.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.30.5 OriginalOrderQuantityType <OrgnlOrdQtyTp>

*Presence:* [1..1]

*Definition:* Specifies how the original order was expressed that resulted in the cash-in movement, that is cash or units.

**OriginalOrderQuantityType <OrgnlOrdQtyTp>** contains one of the following **QuantityType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700

##### 65.1.28.30.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a code.

*Datatype:* "[OrderQuantityType2Code](#)" on page 2470

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

##### 65.1.28.30.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Quantity type expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.28.30.6 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Charge for the placement of an order.

**ChargeDetails <ChrgDtls>** contains the following elements (see "[Charge26](#)" on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1128
{Or	Code <Cd>	[1..1]	CodeSet		1128
Or}	Proprietary <Prtry>	[1..1]	±		1129
	ChargeApplied <ChrgApld>	[1..1]			1129
{Or	Amount <Amt>	[1..1]	Amount	C2	1129
Or}	Rate <Rate>	[1..1]	Rate		1130

#### 65.1.28.30.7 CommissionDetails <ComssnDtls>

*Presence:* [0..\*]

*Definition:* Information related to the commission applied to an order, for example, back-end or front-end commission.

**CommissionDetails <ComssnDtls>** contains the following elements (see "[Commission21](#)" on page 1142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommissionType <ComssnTp>	[1..1]			1142
{Or	Code <Cd>	[1..1]	CodeSet		1143
Or}	Proprietary <Prtry>	[1..1]	±		1143
	CommissionApplied <ComssnApld>	[1..1]			1143
{Or	Amount <Amt>	[1..1]	Amount	C2	1143
Or}	Rate <Rate>	[1..1]	Rate		1144

#### 65.1.28.30.8 SettlementCurrency <SttlmCcy>

*Presence:* [0..1]

*Definition:* Settlement currency for the transaction.

*Impacted by:* [C2 "ActiveCurrency"](#)

*Datatype:* ["ActiveCurrencyCode"](#) on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.28.31 AdditionalParameters1

*Definition:* Sort criteria.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C11	1702
	Currency <Ccy>	[0..1]	CodeSet	C3	1702
	GeographicalArea <GeoArea>	[0..1]	Text		1703

#### 65.1.28.31.1 Country <Ctry>

*Presence:* [0..1]

*Definition:* Specifies the country.

*Impacted by:* [C11 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.28.31.2 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Specifies the currency.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode"](#) on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.1.28.31.3 GeographicalArea <GeoArea>

*Presence:* [0..1]

*Definition:* Specifies the geographical area, eg, Asia-Pacific, Europe, Middle-East.

*Datatype:* "Max35Text" on page 2536

### 65.1.28.32 BreakdownByUserDefinedParameter3

*Definition:* Specifies the cash-in and cash-out flows by a user defined parameter/s.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[0..1]		C1, C2	1704
	AccountIdentification <AcctId>	[0..1]	±		1704
	OwnerIdentification <OwnrId>	[0..1]	±		1704
	AccountServicer <AcctSvcr>	[0..1]	±		1705
	Country <Ctry>	[0..1]	CodeSet	C11	1705
	Currency <Ccy>	[0..1]	CodeSet	C3	1705
	UserDefined <UsrDfnd>	[0..1]	±		1706
	CashInForecast <CshInFcst>	[0..*]		C5	1706
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1707
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1707
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1707
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1707
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1707
	AdditionalBalance <AddtlBal>	[0..1]	±		1708
	CashOutForecast <CshOutFcst>	[0..*]		C6	1708
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1711

**Constraints**

- **UserDefinedRule**

At least one message element in the list (Party, Country, Currency, UserDefined) must be present.  
More than one element in the list (Party, Country, Currency, UserDefined) may be present.

**65.1.28.32.1 Party <Pty>**

*Presence:* [0..1]

*Definition:* Party for which the cash flow is being reported.

*Impacted by:* C1 "AccountOrOwner1Rule", C2 "AccountOrOwner2Rule"

**Party <Pty>** contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		1704
	OwnerIdentification <OwnrId>	[0..1]	±		1704
	AccountServicer <AcctSvcr>	[0..1]	±		1705

**Constraints**

- **AccountOrOwner1Rule**

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

On Condition  
 /AccountIdentification is absent  
 Following Must be True  
 /OwnerIdentification Must be present

- **AccountOrOwner2Rule**

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

On Condition  
 /OwnerIdentification is absent  
 Following Must be True  
 /AccountIdentification Must be present

**65.1.28.32.1.1 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

**65.1.28.32.1.2 OwnerIdentification <OwnrId>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <Ownrld>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.28.32.1.3 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification2Choice" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.28.32.2 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country for which the cash flow is being reported.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

##### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.28.32.3 Currency <Ccy>

*Presence:* [0..1]

*Definition:* Currency for which the cash flow is being reported.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.32.4 UserDefined <UsrDfnd>**

*Presence:* [0..1]

*Definition:* Parameter for which the cash flow is being reported.

**UserDefined <UsrDfnd>** contains one of the following elements (see ["DataFormat2Choice"](#) on page 2127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2128
Or}	Unstructured <Ustrd>	[1..1]	Text		2128

**65.1.28.32.5 CashInForecast <CshInFcst>**

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* [C5 "AdditionalBalanceRule"](#)

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1707
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1707
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1707
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1707
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1707
	AdditionalBalance <AddtlBal>	[0..1]	±		1708

**Constraints**

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.32.5.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.32.5.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.32.5.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.32.5.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.32.5.5 CashInBreakdownDetails <CshInBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash in amounts by transaction and order type.

**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1698 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1698
	UnitsNumber <UnitsNb>	[0..1]	±		1698
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1699
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1699
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1700
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700
	ChargeDetails <ChrgDtls>	[0..*]	±		1701
	CommissionDetails <ComssnDtls>	[0..*]	±		1701
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1701

#### 65.1.28.32.5.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

#### 65.1.28.32.6 CashOutForecast <CshOutFcst>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"



**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1709
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1709
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1710
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1710
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1710
	AdditionalBalance <AddtlBal>	[0..1]	±		1710

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.32.6.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.32.6.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.28.32.6.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.28.32.6.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow out is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.32.6.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash out amounts by transaction and order type.**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1694
	UnitsNumber <UnitsNb>	[0..1]	±		1694
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1695
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1695
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1696
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696
	ChargeDetails <ChrgDtls>	[0..*]	±		1696
	CommissionDetails <ComssnDtls>	[0..*]	±		1697
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1697

**65.1.28.32.6.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see ["FundBalance1"](#) on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

### 65.1.28.32.7 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the user defined parameter.

*Impacted by:* [C7 "AdditionalBalanceRule"](#)

**NetCashForecast <NetCshFcst>** contains the following elements (see ["NetCashForecast4"](#) on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

### 65.1.28.33 BreakdownByCurrency2

*Definition:* Specifies the cash-in and cash-out flows by currency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1712
	CashOutForecast <CshOutFcst>	[0..*]		C6	1712
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1713
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1713
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1714
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1714
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1714
	AdditionalBalance <AddtlBal>	[0..1]	±		1714
	CashInForecast <CshInFcst>	[0..*]		C5	1715
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1716
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1716
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1716
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1716
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1716
	AdditionalBalance <AddtlBal>	[0..1]	±		1717
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1717

### 65.1.28.33.1 Currency <Ccy>

*Presence:* [1..1]

*Definition:* Currency for which the cash flow is being reported.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.1.28.33.2 CashOutForecast <CshOutFcst>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1713
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1713
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1714
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1714
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1714
	AdditionalBalance <AddtlBal>	[0..1]	±		1714

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.33.2.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.33.2.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.28.33.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.28.33.2.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow out is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.33.2.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash out amounts by transaction and order type.**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1694
	UnitsNumber <UnitsNb>	[0..1]	±		1694
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1695
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1695
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1696
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696
	ChargeDetails <ChrgDtls>	[0..*]	±		1696
	CommissionDetails <ComssnDtls>	[0..*]	±		1697
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1697

**65.1.28.33.2.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

**Definition:** Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

### 65.1.28.33.3 CashInForecast <CshInFcst>

**Presence:** [0..\*]

**Definition:** Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

**Impacted by:** C5 "AdditionalBalanceRule"

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1716
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1716
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1716
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1716
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1716
	AdditionalBalance <AddtlBal>	[0..1]	±		1717

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.33.3.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.33.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.33.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.33.3.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.33.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>

*Presence:* [0..\*]



*Definition:* Breakdown of cash in amounts by transaction and order type.

**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1698 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1698
	UnitsNumber <UnitsNb>	[0..1]	±		1698
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1699
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1699
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1700
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700
	ChargeDetails <ChrgDtls>	[0..*]	±		1701
	CommissionDetails <ComssnDtls>	[0..*]	±		1701
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1701

#### 65.1.28.33.3.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

#### 65.1.28.33.4 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the currency.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecast <NetCshFcst>** contains the following elements (see "[NetCashForecast4](#)" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 65.1.28.34 BreakdownByCountry2

*Definition:* Specifies the cash-in and cash-out flows by country.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1719
	CashInForecast <CshInFcst>	[0..*]		C5	1719
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1720
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1720
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1721
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1721
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1721
	AdditionalBalance <AddtlBal>	[0..1]	±		1721
	CashOutForecast <CshOutFcst>	[0..*]		C6	1722
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1723
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1723
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1723
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1723
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1723
	AdditionalBalance <AddtlBal>	[0..1]	±		1724
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1724

#### 65.1.28.34.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country for which the cash flow is being reported.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.28.34.2 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C5 "AdditionalBalanceRule"

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1720
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1720
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1721
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1721
	CashInBreakdownDetails <CshInBrkdwnDtIs>	[0..*]	±		1721
	AdditionalBalance <AddtlBal>	[0..1]	±		1721

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.34.2.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.34.2.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.28.34.2.3 SubTotalUnitsNumber <SubTtlUnitsNb>***Presence:* [0..1]*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.28.34.2.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>***Presence:* [0..1]*Definition:* Indicates whether the estimated cash flow in is exceptional.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.28.34.2.5 CashInBreakdownDetails <CshInBrkdwnDtls>***Presence:* [0..\*]*Definition:* Breakdown of cash in amounts by transaction and order type.**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1698 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1698
	UnitsNumber <UnitsNb>	[0..1]	±		1698
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1699
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1699
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1700
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700
	ChargeDetails <ChrgDtls>	[0..*]	±		1701
	CommissionDetails <ComssnDtls>	[0..*]	±		1701
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1701

**65.1.28.34.2.6 AdditionalBalance <AddtlBal>***Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

### 65.1.28.34.3 CashOutForecast <CshOutFcst>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1723
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1723
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1723
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1723
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1723
	AdditionalBalance <AddtlBal>	[0..1]	±		1724

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.34.3.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.34.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.34.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.34.3.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.34.3.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash out amounts by transaction and order type.

**CashOutBreakdownDetails <CshOutBrkdwDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1694
	UnitsNumber <UnitsNb>	[0..1]	±		1694
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1695
	InvestmentFundTransactionOutType <InvstmntFndTxOutTp>	[1..1]			1695
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1696
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696
	ChargeDetails <ChrgDtls>	[0..*]	±		1696
	CommissionDetails <ComssnDtls>	[0..*]	±		1697
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1697

#### 65.1.28.34.3.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

#### 65.1.28.34.4 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the country.

*Impacted by:* C7 "AdditionalBalanceRule"



**NetCashForecast <NetCshFcst>** contains the following elements (see "[NetCashForecast4](#)" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 65.1.28.35 BreakdownByParty3

*Definition:* Specifies the cash-in and cash-out flows by party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]		C1, C2	1726
	AccountIdentification <AcctId>	[0..1]	±		1727
	OwnerIdentification <OwnrId>	[0..1]	±		1727
	AccountServicer <AcctSvcr>	[0..1]	±		1727
	AdditionalParameters <AddtlParams>	[0..1]	±		1728
	CashInForecast <CshInFcst>	[0..*]		C5	1728
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1729
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1729
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1729
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1729
	CashInBreakdownDetails <CshInBrkdownDtls>	[0..*]	±		1730
	AdditionalBalance <AddtlBal>	[0..1]	±		1730
	CashOutForecast <CshOutFcst>	[0..*]		C6	1730
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1731
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1731
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1732
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1732
	CashOutBreakdownDetails <CshOutBrkdownDtls>	[0..*]	±		1732
	AdditionalBalance <AddtlBal>	[0..1]	±		1733
	NetCashForecast <NetCshFcst>	[0..*]	±	C7	1733

#### 65.1.28.35.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Party, for example, fund management company, for which the cash flow is being reported.

*Impacted by:* C1 "AccountOrOwner1Rule", C2 "AccountOrOwner2Rule"

**Party <Pty>** contains the following **InvestmentAccount42** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	±		1727
	OwnerIdentification <OwnrId>	[0..1]	±		1727
	AccountServicer <AcctSvcr>	[0..1]	±		1727

**Constraints**

- **AccountOrOwner1Rule**

If AccountIdentification is not present, then OwnerIdentification must be present. Both AccountIdentification and OwnerIdentification may be present.

On Condition  
     /AccountIdentification is absent  
 Following Must be True  
     /OwnerIdentification Must be present

- **AccountOrOwner2Rule**

If OwnerIdentification is not present, then AccountIdentification must be present. Both OwnerIdentification and AccountIdentification may be present.

On Condition  
     /OwnerIdentification is absent  
 Following Must be True  
     /AccountIdentification Must be present

**65.1.28.35.1.1 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "[AccountIdentification1](#)" on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Proprietary <Prtry>	[1..1]	±		1008

**65.1.28.35.1.2 OwnerIdentification <OwnrId>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**OwnerIdentification <OwnrId>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

**65.1.28.35.1.3 AccountServicer <AcctSvcr>**

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see ["PartyIdentification2Choice"](#) on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.28.35.2 AdditionalParameters <AddtlParams>

*Presence:* [0..1]

*Definition:* Additional parameter/s applied to the cash flow by party.

**AdditionalParameters <AddtlParams>** contains the following elements (see ["AdditionalParameters1"](#) on page 1702 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[0..1]	CodeSet	C11	1702
	Currency <Ccy>	[0..1]	CodeSet	C3	1702
	GeographicalArea <GeoArea>	[0..1]	Text		1703

#### 65.1.28.35.3 CashInForecast <CshInFcst>

*Presence:* [0..\*]

*Definition:* Cash movement into the fund as a result of transactions in shares in an investment fund, for example, subscriptions or switch-ins.

*Impacted by:* C5 ["AdditionalBalanceRule"](#)

**CashInForecast <CshInFcst>** contains the following **CashInForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1729
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1729
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1729
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1729
	CashInBreakdownDetails <CshInBrkdwnDtls>	[0..*]	±		1730
	AdditionalBalance <AddtlBal>	[0..1]	±		1730

#### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition  
 /AdditionalBalance is present  
 Following Must be True  
 /AdditionalBalance/TotalUnitsFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present  
 Or /AdditionalBalance/TotalCashFromUnitOrders Must be present  
 Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.35.3.1 CashSettlementDate <CshSttImDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.35.3.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.35.3.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow in, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "FinancialInstrumentQuantity1" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.35.3.4 ExceptionalCashFlowIndicator <XcptnCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow in is exceptional.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.28.35.3.5 CashInBreakdownDetails <CshInBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash in amounts by transaction and order type.

**CashInBreakdownDetails <CshInBrkdwnDtls>** contains the following elements (see "FundCashInBreakdown3" on page 1698 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1698
	UnitsNumber <UnitsNb>	[0..1]	±		1698
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1699
	InvestmentFundTransactionInType <InvstmtFndTxInTp>	[1..1]			1699
{Or	Code <Cd>	[1..1]	CodeSet		1699
Or}	Proprietary <Prtry>	[1..1]	±		1700
	OriginalOrderQuantityType <OrgnlOrdrQtyTp>	[1..1]			1700
{Or	Code <Cd>	[1..1]	CodeSet		1700
Or}	Proprietary <Prtry>	[1..1]	±		1700
	ChargeDetails <ChrgDtls>	[0..*]	±		1701
	CommissionDetails <ComssnDtls>	[0..*]	±		1701
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1701

### 65.1.28.35.3.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

### 65.1.28.35.4 CashOutForecast <CshOutFcst>

*Presence:* [0..\*]

*Definition:* Cash movement out of the fund as a result of transactions in shares in an investment fund, for example, redemptions or switch-outs.

*Impacted by:* C6 "AdditionalBalanceRule"

**CashOutForecast <CshOutFcst>** contains the following **CashOutForecast5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1731
	SubTotalAmount <SubTtlAmt>	[0..1]	Amount	C3, C12	1731
	SubTotalUnitsNumber <SubTtlUnitsNb>	[0..1]	±		1732
	ExceptionalCashFlowIndicator <XcptnlCshFlowInd>	[0..1]	Indicator		1732
	CashOutBreakdownDetails <CshOutBrkdwnDtls>	[0..*]	±		1732
	AdditionalBalance <AddtlBal>	[0..1]	±		1733

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

#### 65.1.28.35.4.1 CashSettlementDate <CshSttlmDt>

*Presence:* [1..1]

*Definition:* Date on which cash is available.

*Datatype:* "ISODate" on page 2521

#### 65.1.28.35.4.2 SubTotalAmount <SubTtlAmt>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as an amount of money.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.28.35.4.3 SubTotalUnitsNumber <SubTtlUnitsNb>

*Presence:* [0..1]

*Definition:* Sub-total amount of the cash flow out, expressed as a number of units.

**SubTotalUnitsNumber <SubTtlUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

#### 65.1.28.35.4.4 ExceptionalCashFlowIndicator <XcptnlCshFlowInd>

*Presence:* [0..1]

*Definition:* Indicates whether the estimated cash flow out is exceptional.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.28.35.4.5 CashOutBreakdownDetails <CshOutBrkdwnDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of cash out amounts by transaction and order type.



**CashOutBreakdownDetails <CshOutBrkdwnDtls>** contains the following elements (see "FundCashOutBreakdown3" on page 1693 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3, C12	1694
	UnitsNumber <UnitsNb>	[0..1]	±		1694
	NewAmountIndicator <NewAmtInd>	[0..1]	Indicator		1695
	InvestmentFundTransactionOutType <InvstmtFndTxOutTp>	[1..1]			1695
{Or	Code <Cd>	[1..1]	CodeSet		1695
Or}	Proprietary <Prtry>	[1..1]	±		1695
	OriginalOrderQuantityType <OrgnlOrdQtyTp>	[1..1]			1696
{Or	Code <Cd>	[1..1]	CodeSet		1696
Or}	Proprietary <Prtry>	[1..1]	±		1696
	ChargeDetails <ChrgDtls>	[0..*]	±		1696
	CommissionDetails <ComssnDtls>	[0..*]	±		1697
	SettlementCurrency <SttlmCcy>	[0..1]	CodeSet	C2	1697

#### 65.1.28.35.4.6 AdditionalBalance <AddtlBal>

*Presence:* [0..1]

*Definition:* Additional balances for cash amounts and number of units.

In an estimated report, the total cash derived from orders placed as a number of units is an estimated cash amount and the total number of units derived from orders placed as a cash amount is an estimated number of units.

**AdditionalBalance <AddtlBal>** contains the following elements (see "FundBalance1" on page 1046 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalUnitsFromUnitOrders <TtlUnitsFrUnitOrdrs>	[0..1]	±		1046
	TotalUnitsFromCashOrders <TtlUnitsFrCshOrdrs>	[0..1]	±		1047
	TotalCashFromUnitOrders <TtlCshFrUnitOrdrs>	[0..1]	Amount	C3, C12	1047
	TotalCashFromCashOrders <TtlCshFrCshOrdrs>	[0..1]	Amount	C3, C12	1047

#### 65.1.28.35.5 NetCashForecast <NetCshFcst>

*Presence:* [0..\*]

*Definition:* Net cash as a result of the cash-in and cash-out flows specified for the party.

*Impacted by:* C7 "AdditionalBalanceRule"

**NetCashForecast <NetCshFcst>** contains the following elements (see "[NetCashForecast4](#)" on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashSettlementDate <CshSttlmDt>	[1..1]	Date		1082
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1082
	NetUnitsNumber <NetUnitsNb>	[0..1]	±		1082
	FlowDirection <FlowDrctn>	[1..1]	CodeSet		1083
	AdditionalBalance <AddtlBal>	[0..1]	±		1083

### Constraints

- **AdditionalBalanceRule**

If AdditionalBalance is present, then at least one or more elements in the list (AdditionalBalance/TotalUnitsFromUnitOrders, AdditionalBalance/TotalUnitsFromCashOrders, AdditionalBalance/TotalCashFromUnitOrders, AdditionalBalance/TotalCashFromCashOrders) must be present.

On Condition

/AdditionalBalance is present

Following Must be True

/AdditionalBalance/TotalUnitsFromUnitOrders Must be present

Or /AdditionalBalance/TotalUnitsFromCashOrders Must be present

Or /AdditionalBalance/TotalCashFromUnitOrders Must be present

Or /AdditionalBalance/TotalCashFromCashOrders Must be present

## 65.1.28.36 MarketPracticeVersion1

*Definition:* Identifies the implementation and version.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1734
	Date <Dt>	[0..1]	YearMonth		1734
	Number <Nb>	[0..1]	Text		1734

### 65.1.28.36.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Market practice, for example, "UKTRANSFERS", "FINDELSLT".

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.28.36.2 Date <Dt>

*Presence:* [0..1]

*Definition:* Year and month, for example, 2013-06.

*Datatype:* "[ISOYearMonth](#)" on page 2538

### 65.1.28.36.3 Number <Nb>

*Presence:* [0..1]

*Definition:* Version of the market practice.

*Datatype:* "Max35Text" on page 2536

### 65.1.28.37 MiFIDClassification1

*Definition:* Details about the MIFID classification of the account owner.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Classification <Clssfctn>	[1..1]	CodeSet		1735
	Narrative <Nrtrv>	[0..1]	Text		1735

#### 65.1.28.37.1 Classification <Clssfctn>

*Presence:* [1..1]

*Definition:* MiFID classification of the account owner.

*Datatype:* "OrderOriginatorEligibility1Code" on page 2469

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

#### 65.1.28.37.2 Narrative <Nrtrv>

*Presence:* [0..1]

*Definition:* Additional information about the source of classification.

*Datatype:* "Max350Text" on page 2536

### 65.1.28.38 LetterIntent1

*Definition:* Specifies information about the letter of intent.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LetterIntentReference <LtrInttRef>	[1..1]	Text		1736
	Amount <Amt>	[0..1]	Amount	C2	1736
	StartDate <StartDt>	[0..1]	Date		1736
	EndDate <EndDt>	[0..1]	Date		1736

**65.1.28.38.1 LetterIntentReference <LtrInttRef>***Presence:* [1..1]*Definition:* Reference of a letter of intent program, in which sales commissions are reduced based on the aggregate of a customer's actual purchase and anticipated purchases, over a specific period of time, and as agreed by the customer.*Datatype:* "Max35Text" on page 2536**65.1.28.38.2 Amount <Amt>***Presence:* [0..1]*Definition:* Amount stated on the letter of intent.*Impacted by:* C2 "ActiveCurrency"*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.38.3 StartDate <StartDt>***Presence:* [0..1]*Definition:* Start date stated on the letter of intent.*Datatype:* "ISODate" on page 2521**65.1.28.38.4 EndDate <EndDt>***Presence:* [0..1]*Definition:* End date stated on the letter of intent.*Datatype:* "ISODate" on page 2521**65.1.28.39 TransactionChannelType1Choice***Definition:* Choice of formats for the specification of the type of transaction Channel.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1736
Or}	Proprietary <Prtry>	[1..1]	±		1737

**65.1.28.39.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of transaction channel expressed as a code.*Datatype:* "TransactionChannel2Code" on page 2511

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.
BRAN	OfficeOrBranch	Office or branch.

### 65.1.28.39.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of transaction channel expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.28.40 ValuationStatistics3

*Definition:* Statistical data related to the price change of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1739
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1739
	Structured <Strd>	[1..1]	CodeSet		1740
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741
	PriceChange <PricChng>	[1..1]		C5, C6	1741
	Amount <Amt>	[0..1]	Amount	C3	1742
	AmountSign <AmtSgn>	[0..1]	Indicator		1742
	Rate <Rate>	[0..1]	Rate		1742
	Yield <Yld>	[0..1]	Rate		1742
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1742
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1743
	Amount <Amt>	[1..1]	Amount	C3	1743
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1744
	Amount <Amt>	[1..1]	Amount	C3	1744
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1744
	Amount <Amt>	[0..1]	Amount	C3	1745
	AmountSign <AmtSgn>	[0..1]	Indicator		1745
	Rate <Rate>	[0..1]	Rate		1745
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1745
	Amount <Amt>	[0..1]	Amount	C3	1746
	AmountSign <AmtSgn>	[0..1]	Indicator		1746
	Rate <Rate>	[0..1]	Rate		1746
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1746
	Amount <Amt>	[0..1]	Amount	C3	1747
	AmountSign <AmtSgn>	[0..1]	Indicator		1747
	Rate <Rate>	[0..1]	Rate		1747
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1748
	Period <Prd>	[1..1]	±		1748
	HighestPriceValue <HghstPricVal>	[0..1]			1748
	Amount <Amt>	[1..1]	Amount	C3	1748
	LowestPriceValue <LwstPricVal>	[0..1]			1749

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	1749
	PriceChange <PricChng>	[0..1]		C5, C6	1749
	Amount <Amt>	[0..1]	Amount	C3	1750
	AmountSign <AmtSgn>	[0..1]	Indicator		1750
	Rate <Rate>	[0..1]	Rate		1750
	Yield <Yld>	[0..1]	Rate		1750

### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

#### 65.1.28.40.1 Currency <Ccy>

*Presence:* [1..1]

*Definition:* Currency of the valuation statistics.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.28.40.2 PriceTypeChangeBasis <PricTpChngBsis>

*Presence:* [1..1]

*Definition:* Type of price from which the change is calculated, eg, bid, offer, or single.

*Impacted by:* C18 "OtherCodeRule"

**PriceTypeChangeBasis <PricTpChngBsis>** contains the following **PriceType2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Structured <Strd>	[1..1]	CodeSet		1740
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741

#### Constraints

- **OtherCodeRule**

If Structured is OTHR, then AdditionalInformation is mandatory.

#### 65.1.28.40.2.1 Structured <Strd>

*Presence:* [1..1]

*Definition:* Structured format.

*Datatype:* "TypeOfPrice6Code" on page 2518

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs



CodeName	Name	Definition
		redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

#### 65.1.28.40.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the type of charge.

*Datatype:* "Max350Text" on page 2536

#### 65.1.28.40.3 PriceChange <PricChng>

*Presence:* [1..1]

*Definition:* Change in price since the previous valuation date.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**PriceChange <PricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	1742
	AmountSign <AmtSgn>	[0..1]	Indicator		1742
	Rate <Rate>	[0..1]	Rate		1742

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**65.1.28.40.3.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.40.3.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.28.40.3.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2534

**65.1.28.40.4 Yield <Yld>**

*Presence:* [0..1]

*Definition:* Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

*Datatype:* "PercentageRate" on page 2534

**65.1.28.40.5 ByPredefinedTimePeriods <ByPrdfndTmPrds>**

*Presence:* [0..1]

*Definition:* Information related to price variations, expressed using pre-defined periods.

**ByPredefinedTimePeriods <ByPrdfndTmPrds>** contains the following **StatisticsByPredefinedTimePeriods2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1743
	Amount <Amt>	[1..1]	Amount	C3	1743
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1744
	Amount <Amt>	[1..1]	Amount	C3	1744
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1744
	Amount <Amt>	[0..1]	Amount	C3	1745
	AmountSign <AmtSgn>	[0..1]	Indicator		1745
	Rate <Rate>	[0..1]	Rate		1745
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1745
	Amount <Amt>	[0..1]	Amount	C3	1746
	AmountSign <AmtSgn>	[0..1]	Indicator		1746
	Rate <Rate>	[0..1]	Rate		1746
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1746
	Amount <Amt>	[0..1]	Amount	C3	1747
	AmountSign <AmtSgn>	[0..1]	Indicator		1747
	Rate <Rate>	[0..1]	Rate		1747

#### 65.1.28.40.5.1 HighestPriceValue12Months <HghstPricVal12Mnths>

*Presence:* [0..1]

*Definition:* Highest price for the referenced period.

**HighestPriceValue12Months <HghstPricVal12Mnths>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	1743

##### 65.1.28.40.5.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.40.5.2 LowestPriceValue12Months <LwstPricVal12Mnth>**

*Presence:* [0..1]

*Definition:* Lowest price for the referenced period.

**LowestPriceValue12Months <LwstPricVal12Mnth>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	1744

**65.1.28.40.5.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.40.5.3 OneYearPriceChange <OneYrPricChng>**

*Presence:* [0..1]

*Definition:* Change in price over a one year period.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**OneYearPriceChange <OneYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	1745
	AmountSign <AmtSgn>	[0..1]	Indicator		1745
	Rate <Rate>	[0..1]	Rate		1745

**Constraints**

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**65.1.28.40.5.3.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410](#)

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.40.5.3.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see ["PlusOrMinusIndicator" on page 2532](#)):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.28.40.5.3.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* ["PercentageRate" on page 2534](#)

**65.1.28.40.5.4 ThreeYearPriceChange <ThreeYrPricChng>**

*Presence:* [0..1]

*Definition:* Change in price over a three year period.

*Impacted by:* [C5 "AmountAndOrRateRule"](#), [C6 "AmountSignRule"](#)

**ThreeYearPriceChange <ThreeYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	1746
	AmountSign <AmtSgn>	[0..1]	Indicator		1746
	Rate <Rate>	[0..1]	Rate		1746

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

#### 65.1.28.40.5.4.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.28.40.5.4.2 AmountSign <AmtSgn>

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

#### 65.1.28.40.5.4.3 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.28.40.5.5 FiveYearPriceChange <FiveYrPricChng>

*Presence:* [0..1]

*Definition:* Change in price over a five year period.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**FiveYearPriceChange <FiveYrPricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	1747
	AmountSign <AmtSgn>	[0..1]	Indicator		1747
	Rate <Rate>	[0..1]	Rate		1747

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

#### 65.1.28.40.5.5.1 Amount <Amt>

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.28.40.5.5.2 AmountSign <AmtSgn>

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see "PlusOrMinusIndicator" on page 2532):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

#### 65.1.28.40.5.5.3 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* "PercentageRate" on page 2534

**65.1.28.40.6 ByUserDefinedTimePeriod <ByUsrDfndTmPrd>***Presence:* [0..\*]*Definition:* Information related to price variations, expressed using user-defined periods.

**ByUserDefinedTimePeriod <ByUsrDfndTmPrd>** contains the following **StatisticsByUserDefinedTimePeriod2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Period <Prd>	[1..1]	±		1748
	HighestPriceValue <HghstPricVal>	[0..1]			1748
	Amount <Amt>	[1..1]	Amount	C3	1748
	LowestPriceValue <LwstPricVal>	[0..1]			1749
	Amount <Amt>	[1..1]	Amount	C3	1749
	PriceChange <PricChng>	[0..1]		C5, C6	1749
	Amount <Amt>	[0..1]	Amount	C3	1750
	AmountSign <AmtSgn>	[0..1]	Indicator		1750
	Rate <Rate>	[0..1]	Rate		1750
	Yield <Yld>	[0..1]	Rate		1750

**65.1.28.40.6.1 Period <Prd>***Presence:* [1..1]*Definition:* Reference period for the valuation.

**Period <Prd>** contains one of the following elements (see "[DateOrDateTimePeriodChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		1148
Or}	DateTime <DtTm>	[1..1]	±		1148

**65.1.28.40.6.2 HighestPriceValue <HghstPricVal>***Presence:* [0..1]*Definition:* Highest price for the referenced period.

**HighestPriceValue <HghstPricVal>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	1748

**65.1.28.40.6.2.1 Amount <Amt>***Presence:* [1..1]*Definition:* Price expressed as a currency and value.



*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.28.40.6.3 LowestPriceValue <LwstPricVal>

*Presence:* [0..1]

*Definition:* Lowest price for the referenced period.

**LowestPriceValue <LwstPricVal>** contains the following **PriceValue5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C3	1749

##### 65.1.28.40.6.3.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.28.40.6.4 PriceChange <PricChng>

*Presence:* [0..1]

*Definition:* Change in price since the previous valuation date.

*Impacted by:* C5 "AmountAndOrRateRule", C6 "AmountSignRule"

**PriceChange <PricChng>** contains the following **PriceValueChange1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[0..1]	Amount	C3	1750
	AmountSign <AmtSgn>	[0..1]	Indicator		1750
	Rate <Rate>	[0..1]	Rate		1750

**Constraints**

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

- **AmountSignRule**

If Amount is present, then AmountSign is optional. If Amount is not present, then AmountSign is not allowed.

**65.1.28.40.6.4.1 Amount <Amt>**

*Presence:* [0..1]

*Definition:* Amount by which the price has changed.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410](#)

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.28.40.6.4.2 AmountSign <AmtSgn>**

*Presence:* [0..1]

*Definition:* Indicates a positive or negative amount change.

*Datatype:* One of the following values must be used (see ["PlusOrMinusIndicator" on page 2532](#)):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

**65.1.28.40.6.4.3 Rate <Rate>**

*Presence:* [0..1]

*Definition:* Rate by which the price has changed.

*Datatype:* ["PercentageRate" on page 2534](#)

**65.1.28.40.6.5 Yield <Yld>**

*Presence:* [0..1]

*Definition:* Rate of income from the financial instrument, usually calculated as total dividends or coupon interest available to investors in the last year, divided by the current price.

*Datatype:* ["PercentageRate" on page 2534](#)

**65.1.28.41 Pagination**

*Definition:* Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1751
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1751

#### 65.1.28.41.1 PageNumber <PgNb>

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* "Max5NumericText" on page 2537

#### 65.1.28.41.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 65.1.29 Organisation Identification

### 65.1.29.1 PartyIdentification1Choice

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1751
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1752
Or}	NameAndAddress <NmAndAdr>	[1..1]			1752
	Name <Nm>	[1..1]	Text		1752
	Address <Adr>	[0..1]	±		1752

#### 65.1.29.1.1 BICOrBEI <BICOrBEI>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2522

**Constraints**

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**65.1.29.1.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.29.1.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

**NameAndAddress <NmAndAdr>** contains the following **NameAndAddress2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1752
	Address <Adr>	[0..1]	±		1752

**65.1.29.1.3.1 Name <Nm>**

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.29.1.3.2 Address <Adr>**

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**Address <Adr>** contains one of the following elements (see "[LongPostalAddress1Choice](#)" on page 2063 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2063
Or}	Structured <Strd>	[1..1]	±	C14	2063

## 65.1.29.2 Organisation40

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1753
	ShortName <ShrtNm>	[0..1]	Text		1753
	Identification <Id>	[0..1]			1754
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1754
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1754
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1754
	Purpose <Purp>	[0..1]	Text		1755
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1755
	RegistrationDate <RegnDt>	[0..1]	Date		1755
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			1755
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1755
	PostalAddress <PstlAdr>	[1..1]	±	C23	1756
	TypeOfOrganisation <TpOfOrg>	[0..1]			1756
{Or	Code <Cd>	[1..1]	CodeSet		1757
Or}	Proprietary <Prtry>	[1..1]	±		1757
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1757

### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, ModifiedPostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

### 65.1.29.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which the organisation is known and which is usually used to identify that organisation.

*Datatype:* "Max350Text" on page 2536

### 65.1.29.2.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Name of the organisation in short form.

*Datatype:* "Max35Text" on page 2536

### 65.1.29.2.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the organisation.

**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1754
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1754

#### 65.1.29.2.3.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

#### 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.

#### 65.1.29.2.3.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.29.2.4 LegalEntityIdentifier <LglnTtyldr>

*Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2529

**65.1.29.2.5 Purpose <Purp>***Presence:* [0..1]*Definition:* Purpose of the organisation, for example, charity.*Datatype:* "Max35Text" on page 2536**65.1.29.2.6 RegistrationCountry <RegnCtry>***Presence:* [0..1]*Definition:* Country in which the organisation is registered.*Impacted by:* C11 "Country"*Datatype:* "CountryCode" on page 2431**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.29.2.7 RegistrationDate <RegnDt>***Presence:* [0..1]*Definition:* Date and time at which a given organisation was officially registered.*Datatype:* "ISODate" on page 2521**65.1.29.2.8 ModifiedPostalAddress <ModfdPstlAdr>***Presence:* [0..\*]*Definition:* Information related to an address to be inserted, updated or deleted.**ModifiedPostalAddress <ModfdPstlAdr>** contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1755
	PostalAddress <PstlAdr>	[1..1]	±	C23	1756

**65.1.29.2.8.1 ModificationScopeIndication <ModScplIndctn>***Presence:* [1..1]*Definition:* Specifies the type of modification to be applied on a set of information.*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**65.1.29.2.8.2 PostalAddress <PstlAdr>***Presence:* [1..1]*Definition:* Address of the organisation.*Impacted by:* C23 "MailingIndicatorRule"**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

**Constraints**

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

**65.1.29.2.9 TypeOfOrganisation <TpOfOrg>***Presence:* [0..1]*Definition:* Type of organisation.



**TypeOfOrganisation <TpOfOrg>** contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1757
Or}	Proprietary <Prtry>	[1..1]	±		1757

#### 65.1.29.2.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a code.

*Datatype:* "OrganisationType1Code" on page 2471

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

#### 65.1.29.2.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.29.2.10 PlaceOfListing <PlcOfListg>

*Presence:* [0..\*]

*Definition:* Place of listing for shares in the organisation.

*Datatype:* "MICIdentifier" on page 2529

#### 65.1.29.3 PartyIdentification220

*Definition:* Identification of a person or an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]			1758
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1758
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1759
Or	NameAndAddress <NmAndAdr>	[1..1]			1759
	Name <Nm>	[1..1]	Text		1759
	PostalAddress <PstlAdr>	[0..1]	±	C23	1759
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1760
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1760
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1761

### Constraints

- **OrganisationIdentificationRule**

Either Identification or Legal Entity Identifier must be present. Both Identification and Legal Entity Identifier may be present.

Following Must be True

/Identification Must be present

Or /LegalEntityIdentifier Must be present

#### 65.1.29.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Identification of the organisation.

**Identification <Id>** contains one of the following **PartyIdentification182Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1758
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1759
Or	NameAndAddress <NmAndAdr>	[1..1]			1759
	Name <Nm>	[1..1]	Text		1759
	PostalAddress <PstlAdr>	[0..1]	±	C23	1759
Or	TaxIdentificationNumber <TaxIdNb>	[1..1]	Text		1760
Or}	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		1760

##### 65.1.29.3.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C1 "AnyBIC"

*Datatype:* ["AnyBICDec2014Identifier" on page 2522](#)

#### 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.

#### 65.1.29.3.1.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see ["GenericIdentification1" on page 1365](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.29.3.1.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **NameAndAddress15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1759
	PostalAddress <PstlAdr>	[0..1]	±	C23	1759

##### 65.1.29.3.1.3.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* ["Max350Text" on page 2536](#)

##### 65.1.29.3.1.3.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

*Impacted by:* [C23 "MailingIndicatorRule"](#)

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.29.3.1.4 TaxIdentificationNumber <TaxIdNb>

*Presence:* [1..1]

*Definition:* Number assigned by a tax authority to an entity.

*Datatype:* "Max35Text" on page 2536

#### 65.1.29.3.1.5 NationalRegistrationNumber <NtlRegnNb>

*Presence:* [1..1]

*Definition:* Number assigned by a national registration authority to an entity.

Datatype: "Max35Text" on page 2536

### 65.1.29.3.2 LegalEntityIdentifier <LglnTtyldr>

Presence: [0..1]

Definition: Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Datatype: "LEIIdentifier" on page 2529

### 65.1.29.4 Organisation39

Definition: Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1761
	ShortName <ShrtNm>	[0..1]	Text		1762
	Identification <Id>	[0..1]			1762
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1762
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1762
	LegalEntityIdentifier <LglnTtyldr>	[0..1]	IdentifierSet		1762
	Purpose <Purp>	[0..1]	Text		1763
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1763
	RegistrationDate <RegnDt>	[0..1]	Date		1763
	PostalAddress <PstlAdr>	[0..10]	±	C23	1763
	TypeOfOrganisation <TpOfOrg>	[0..1]			1764
{Or	Code <Cd>	[1..1]	CodeSet		1765
Or}	Proprietary <Prtry>	[1..1]	±		1765
	PlaceOfListing <PlcOfListg>	[0..*]	IdentifierSet		1765

#### Constraints

- **OrganisationElementRule**

One of the elements (Name, ShortName, Identification, LegalEntityIdentifier, Purpose, RegistrationCountry, RegistrationDate, PostalAddress, TypeOfOrganisation, PlaceOfListing) must be present.

### 65.1.29.4.1 Name <Nm>

Presence: [0..1]

Definition: Name by which the organisation is known and which is usually used to identify that organisation.

Datatype: "Max350Text" on page 2536

**65.1.29.4.2 ShortName <ShrtNm>***Presence:* [0..1]*Definition:* Name of the organisation in short form.*Datatype:* "Max35Text" on page 2536**65.1.29.4.3 Identification <Id>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the organisation.**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1762
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1762

**65.1.29.4.3.1 AnyBIC <AnyBIC>***Presence:* [1..1]*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".*Impacted by:* C1 "AnyBIC"*Datatype:* "AnyBICDec2014Identifier" on page 2522**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.

**65.1.29.4.3.2 ProprietaryIdentification <PrtryId>***Presence:* [1..1]*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.**ProprietaryIdentification <PrtryId>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.29.4.4 LegalEntityIdentifier <LglnTtyldr>***Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "LEIIdentifier" on page 2529

#### **65.1.29.4.5 Purpose <Purp>**

*Presence:* [0..1]

*Definition:* Purpose of the organisation, for example, charity.

*Datatype:* "Max35Text" on page 2536

#### **65.1.29.4.6 RegistrationCountry <RegnCtry>**

*Presence:* [0..1]

*Definition:* Country in which the organisation is registered.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

##### **Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### **65.1.29.4.7 RegistrationDate <RegnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which a given organisation was officially registered.

*Datatype:* "ISODate" on page 2521

#### **65.1.29.4.8 PostalAddress <PstlAdr>**

*Presence:* [0..10]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.29.4.9 TypeOfOrganisation <TpOfOrg>

*Presence:* [0..1]

*Definition:* Type of organisation.



**TypeOfOrganisation <TpOfOrg>** contains one of the following **OrganisationType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1765
Or}	Proprietary <Prtry>	[1..1]	±		1765

#### 65.1.29.4.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a code.

*Datatype:* "OrganisationType1Code" on page 2471

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

#### 65.1.29.4.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of organisation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.29.4.10 PlaceOfListing <PlcOfListg>

*Presence:* [0..\*]

*Definition:* Place of listing for shares in the organisation.

*Datatype:* "MICIdentifier" on page 2529

#### 65.1.29.5 Organisation36

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1766
	Identification <Id>	[0..1]	±		1766
	Purpose <Purp>	[0..1]	Text		1766
	TaxationCountry <TaxtnCtry>	[0..1]	CodeSet	C11	1766
	RegistrationCountry <RegnCtry>	[0..1]	CodeSet	C11	1767
	RegistrationDate <RegnDt>	[0..1]	Date		1767
	TaxIdentificationNumber <TaxIdNb>	[0..1]	Text		1767
	NationalRegistrationNumber <NtlRegnNb>	[0..1]	Text		1767
	CorporateInvestorAddress <CorplnvstrAdr>	[1..1]	±		1767

#### 65.1.29.5.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* "Max140Text" on page 2535

#### 65.1.29.5.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the organisation.

**Identification <Id>** contains the following elements (see "PartyIdentification140" on page 1890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1890
	LEI <LEI>	[0..1]	IdentifierSet		1890

#### 65.1.29.5.3 Purpose <Purp>

*Presence:* [0..1]

*Definition:* Purpose of the organisation, for example, charity.

*Datatype:* "Max35Text" on page 2536

#### 65.1.29.5.4 TaxationCountry <TaxtnCtry>

*Presence:* [0..1]

*Definition:* Country of taxation of the organisation.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.29.5.5 RegistrationCountry <RegnCtry>**

*Presence:* [0..1]

*Definition:* Country in which the organisation is registered.

*Impacted by:* [C11 "Country"](#)

*Datatype:* ["CountryCode" on page 2431](#)

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.29.5.6 RegistrationDate <RegnDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the organisation was officially registered.

*Datatype:* ["ISODate" on page 2521](#)

**65.1.29.5.7 TaxIdentificationNumber <TaxIdNb>**

*Presence:* [0..1]

*Definition:* Number assigned by a tax authority to the organisation.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.29.5.8 NationalRegistrationNumber <NtlRegnNb>**

*Presence:* [0..1]

*Definition:* Number assigned by a national registration authority to the organisation.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.29.5.9 CorporateInvestorAddress <CorpInvstrAdr>**

*Presence:* [1..1]

*Definition:* Postal address of the organisation.

**CorporateInvestorAddress <CorplnvstrAdr>** contains the following elements (see "[PostalAddress1](#)" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

### 65.1.29.6 PartyIdentification3

*Definition:* Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1768

#### 65.1.29.6.1 BICOrBEI <BICOrBEI>

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Impacted by:* [C7 "AnyBIC"](#)

*Datatype:* "[AnyBICIdentifier](#)" on page 2522

#### Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### 65.1.29.7 PartyIdentification2Choice

*Definition:* Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

### 65.1.29.7.1 BICOrBEI <BICOrBEI>

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2522

#### Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### 65.1.29.7.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.29.7.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

## 65.1.30 Party Identification

### 65.1.30.1 Intermediary11

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1770
	Account <Acct>	[0..1]	±		1770
{Or	Role <Role>	[0..1]	CodeSet		1770
Or}	ExtendedRole <XtndedRole>	[0..1]	Text		1771

#### 65.1.30.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

#### 65.1.30.1.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following elements (see "[Account7](#)" on page 994 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		994
	AccountServicer <AcctSvcr>	[0..1]	±		994

#### 65.1.30.1.3 Role <Role>

*Presence:* [0..1]

**Warning** Either Role or ExtendedRole may be present, but not both.

*Definition:* Function performed by the intermediary.

*Datatype:* "[InvestmentFundRole2Code](#)" on page 2457

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.

CodeName	Name	Definition
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

#### 65.1.30.1.4 ExtendedRole <XtndedRole>

*Presence:* [0..1]

**Warning** Either Role or ExtendedRole may be present, but not both.

*Definition:* Function performed by the intermediary.

Datatype: "Extended350Code" on page 2534

### 65.1.30.2 ContactAttributes6

Definition: Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1772
	PostalAddress <PstlAdr>	[0..1]	±		1772
	PhoneNumber <PhneNb>	[0..1]	Text		1772
	FaxNumber <FaxNb>	[0..1]	Text		1773
	EmailAddress <EmailAdr>	[0..1]	Text		1773
	URLAddress <URLAdr>	[0..1]	Text		1773
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1773
	LEI <LEI>	[0..1]	IdentifierSet		1773

#### 65.1.30.2.1 Name <Nm>

Presence: [0..1]

Definition: Name of the party.

Datatype: "Max350Text" on page 2536

#### 65.1.30.2.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Address of the party.

**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

#### 65.1.30.2.3 PhoneNumber <PhneNb>

Presence: [0..1]



*Definition:* Phone number of the party.

*Datatype:* ["PhoneNumber" on page 2537](#)

#### **65.1.30.2.4 FaxNumber <FaxNb>**

*Presence:* [0..1]

*Definition:* Fax number of the party.

*Datatype:* ["PhoneNumber" on page 2537](#)

#### **65.1.30.2.5 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail) for the party.

*Datatype:* ["Max256Text" on page 2535](#)

#### **65.1.30.2.6 URLAddress <URLAdr>**

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

*Datatype:* ["Max2048Text" on page 2535](#)

#### **65.1.30.2.7 AnyBIC <AnyBIC>**

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C1 "AnyBIC"](#)

*Datatype:* ["AnyBICDec2014Identifier" on page 2522](#)

##### **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.

#### **65.1.30.2.8 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier" on page 2529](#)

#### **65.1.30.3 SettlementParties94**

*Definition:* Chain of parties involved in the settlement of a transaction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

## Constraints

### • BookTransferGuideline

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### • DepositoryGuideline

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### • Party2PresenceRule

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

### • Party3PresenceRule

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### 65.1.30.3.1 Depository <Dpstry>

*Presence:* [0..1]

*Definition:* First party in the settlement chain. In a plain vanilla settlement, it is the Central Securities Depository where the counterparty requests to receive the financial instrument or from where the counterparty delivers the financial instruments. This party may be a transfer agent.

**Depository <Dpstry>** contains the following elements (see "[PartyIdentification141](#)" on page 1886 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1887
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1887
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1887
Or}	Country <Ctry>	[1..1]	CodeSet	C11	1888
	LEI <LEI>	[0..1]	IdentifierSet		1888
	AlternateIdentification <AltrnId>	[0..1]	±		1888
	ProcessingDate <PrcgDt>	[0..1]	±		1888
	ProcessingIdentification <PrcgId>	[0..1]	Text		1889
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	1889

### 65.1.30.3.2 Party1 <Pty1>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the depository.

**Party1 <Pty1>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 1779 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

### 65.1.30.3.3 Party2 <Pty2>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 1.

**Party2 <Pty2>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 1779 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

### 65.1.30.3.4 Party3 <Pty3>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 2.

**Party3 <Pty3>** contains the following elements (see ["PartyIdentificationAndAccount194"](#) on page 1779 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

### 65.1.30.3.5 Party4 <Pty4>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 3.

**Party4 <Pty4>** contains the following elements (see ["PartyIdentificationAndAccount194"](#) on page 1779 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

### 65.1.30.3.6 Party5 <Pty5>

*Presence:* [0..1]

*Definition:* Party that, in a settlement chain, interacts with the party 4.

**Party5 <Pty5>** contains the following elements (see "[PartyIdentificationAndAccount194](#)" on page 1779 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

#### 65.1.30.4 PartyTextInformation6

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		1778
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		1778
	RegistrationDetails <RegnDtls>	[0..1]	Text		1778
	RegistrationAddress <RegnAdr>	[0..1]	±		1779

#### Constraints

- **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

##### 65.1.30.4.1 DeclarationDetails <DclrtnDtls>

*Presence:* [0..1]

*Definition:* Provides declaration details narrative relative to the party.

*Datatype:* "[Max350Text](#)" on page 2536

##### 65.1.30.4.2 PartyContactDetails <PtyCtctDtls>

*Presence:* [0..1]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* "[Max140Text](#)" on page 2535

##### 65.1.30.4.3 RegistrationDetails <RegnDtls>

*Presence:* [0..1]

*Definition:* Provides information required for the registration.

*Datatype:* "Max350Text" on page 2536

#### 65.1.30.4.4 RegistrationAddress <RegnAdr>

*Presence:* [0..1]

*Definition:* Address of the nominee company that holds the assets at the transfer agent or International Central Securities Depository or Central Securities Depository on behalf of the party.

**RegistrationAddress <RegnAdr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

#### 65.1.30.5 PartyIdentificationAndAccount194

*Definition:* Party and account details.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1779
	LEI <LEI>	[0..1]	IdentifierSet		1780
	AlternateIdentification <AltrnId>	[0..1]	±		1780
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		1780
	ProcessingDate <PrcgDt>	[0..1]	±		1780
	ProcessingIdentification <PrcgId>	[0..1]	Text		1781
	AdditionalInformation <AddtlInf>	[0..1]	±	C4	1781

##### 65.1.30.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification123Choice](#)" on page 1885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1885
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1886
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1886

#### 65.1.30.5.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal Entity Identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2529

#### 65.1.30.5.3 AlternateIdentification <AltrnId>

*Presence:* [0..1]

*Definition:* Alternate identification for the party.

**AlternateIdentification <AltrnId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1898
	Country <Ctry>	[1..1]	CodeSet	C11	1898
	AlternateIdentification <AltrnId>	[1..1]	Text		1898

#### 65.1.30.5.4 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

**SafekeepingAccount <SfkpgAcct>** contains the following elements (see "[SecuritiesAccount19](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		989
	Type <Tp>	[0..1]	±		989
	Name <Nm>	[0..1]	Text		989

#### 65.1.30.5.5 ProcessingDate <PrcgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the instruction was processed by the specified party.



**ProcessingDate <PrcgDt>** contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.30.5.6 ProcessingIdentification <PrcgId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction for the party identified.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.30.5.7 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the party.

*Impacted by:* [C4 "AdditonalDetailsGuideline"](#)

**AdditionalInformation <AddtlInf>** contains the following elements (see ["PartyTextInformation6"](#) on page 1778 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		1778
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		1778
	RegistrationDetails <RegnDtls>	[0..1]	Text		1778
	RegistrationAddress <RegnAdr>	[0..1]	±		1779

#### Constraints

- **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

#### 65.1.30.6 AccountParties18

*Definition:* Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1783
	PrincipalAccountParty <PrncplAcctPty>	[0..1]			1783
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1783
Or	Trustee <Trstee>	[1..5]	±		1785
Or	Nominee <Nmnee>	[1..1]	±		1787
Or}	JointOwner <JntOwnr>	[1..5]	±		1789
	SecondaryOwner <ScndryOwnr>	[0..*]	±		1791
	Beneficiary <Bnfcry>	[0..*]	±		1793
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		1795
	LegalGuardian <LglGuardn>	[0..*]	±		1797
	CustodianForMinor <CtdnForMnr>	[0..*]	±		1799
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		1801
	Administrator <Admstr>	[0..*]	±		1803
	OtherParty <OthrPty>	[0..*]	±		1805
	Granter <Grntr>	[0..*]	±		1805
	Settlor <Sttlr>	[0..*]	±		1808
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		1810
	Protector <Prctcr>	[0..*]	±		1812
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		1814

## Constraints

### • AddressRule

If ModificationScopeIndication is INSE (InsertNewDataSet), then one of the following must be present:

PrincipalAccountParty/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

CustodianForMinor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SecondaryOwner/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Beneficiary/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

PowerOfAttorney/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

LegalGuardian/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SuccessorOnDeath/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Administrator/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

OtherParty/OtherPartyDetails/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Granter/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

Settlor/Party/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet)

SeniorManagingOfficial/./ModifiedPostalAddress/ModificationScopeIndication/INSE  
(InsertNewDataSet)

Protector/./ModifiedPostalAddress/ModificationScopeIndication/INSE (InsertNewDataSet).

#### 65.1.30.6.1 ModificationScopeIndication <ModScplndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.30.6.2 PrincipalAccountParty <PrncplAcctPty>

*Presence:* [0..1]

*Definition:* Main party associated with the account.

**PrincipalAccountParty <PrncplAcctPty>** contains one of the following **AccountParties13Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1783
Or	Trustee <Trstee>	[1..5]	±		1785
Or	Nominee <Nmnee>	[1..1]	±		1787
Or}	JointOwner <JntOwnr>	[1..5]	±		1789

##### 65.1.30.6.2.1 PrimaryOwner <PmryOwnr>

*Presence:* [1..1]

*Definition:* Single owner of the investment account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

**PrimaryOwner <PmryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.2.2 Trustee <Trstee>

*Presence:* [1..5]

*Definition:* Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.2.3 Nominee <Nmnee>

*Presence:* [1..1]

*Definition:* Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.

**Nominee <Nmnee>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.2.4 JointOwner <JntOwnr>

*Presence:* [1..5]

*Definition:* Co-owner of the investment account when the ownership is assigned to more than one party.

**JointOwner <JntOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

### 65.1.30.6.3 SecondaryOwner <ScndryOwnr>

*Presence:* [0..\*]

*Definition:* Entity that is not the primary owner when the ownership of the investment account is split among several owners.

**SecondaryOwner <ScndryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.4 Beneficiary <Bnfcry>

*Presence:* [0..\*]

*Definition:* Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

**Beneficiary <Bnfcry>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.5 PowerOfAttorney <PwrOfAttny>

*Presence:* [0..\*]

*Definition:* Entity that was given the authority by another entity to act on its behalf.

**PowerOfAttorney <PwrOfAttny>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.6 LegalGuardian <LglGuardn>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

**LegalGuardian <LglGuardn>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.7 CustodianForMinor <CtdnForMnr>

*Presence:* [0..\*]

*Definition:* Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

**CustodianForMinor <CtdnForMnr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.8 SuccessorOnDeath <SucssrOnDth>

*Presence:* [0..\*]

*Definition:* Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

**SuccessorOnDeath <SucssrOnDth>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.9 Administrator <Admstr>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.

**Administrator <Admstr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <OthrId>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.10 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "[ExtendedParty15](#)" on page 1849 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1849
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1849

#### 65.1.30.6.11 Granter <Grntr>

*Presence:* [0..\*]

*Definition:* Granter role in the hedge funds industry.

**Granter <Grntr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.12 Settlor <Sttlr>

*Presence:* [0..\*]

*Definition:* Entity that creates a trust or contributes assets to the trust.

**Settlor <Sttlr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <OthrId>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

### 65.1.30.6.13 SeniorManagingOfficial <SnrMggOffcl>

*Presence:* [0..\*]

*Definition:* Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

**SeniorManagingOfficial <SnrMggOffcl>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.14 Protector <Prtctr>

*Presence:* [0..\*]

*Definition:* Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).



**Protector <Prtctr>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

#### 65.1.30.6.15 RegisteredShareholderName <RegdShrhldrNm>

*Presence:* [0..1]

*Definition:* Party for which shares are to be registered.

**RegisteredShareholderName <RegdShrhldrNm>** contains one of the following elements (see "RegisteredShareholderName1Choice" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1899
	NamePrefix <NmPrfx>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	GivenName <GvnNm>	[0..1]	Text		1900
	MiddleName <MddlNm>	[0..1]	Text		1900
	Name <Nm>	[1..1]	Text		1900
	PostalAddress <PstlAdr>	[1..5]	±	C23	1901
Or}	Organisation <Org>	[1..1]			1901
	Name <Nm>	[1..1]	Text		1902
	ShortName <ShrtNm>	[0..1]	Text		1902
	PostalAddress <PstlAdr>	[1..5]	±	C23	1902

### 65.1.30.7 AccountParties17

*Definition:* Information about a party's account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PrincipalAccountParty <PrncplAcctPty>	[1..1]			1816
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1816
Or	Trustee <Trstee>	[1..5]	±		1818
Or	Nominee <Nmnee>	[1..1]	±		1820
Or}	JointOwner <JntOwnr>	[1..5]	±		1822
	SecondaryOwner <ScndryOwnr>	[0..*]	±		1824
	Beneficiary <Bnfcry>	[0..*]	±		1826
	PowerOfAttorney <PwrOfAttny>	[0..*]	±		1828
	LegalGuardian <LglGuardn>	[0..*]	±		1830
	CustodianForMinor <CtdnForMnr>	[0..*]	±		1832
	SuccessorOnDeath <SucssrOnDth>	[0..*]	±		1834
	Administrator <Admstr>	[0..*]	±		1836
	OtherParty <OthrPty>	[0..*]	±		1838
	Granter <Grntr>	[0..*]	±		1838
	Settlor <Sttlr>	[0..*]	±		1840
	SeniorManagingOfficial <SnrMggOffcl>	[0..*]	±		1842
	Protector <Prctcr>	[0..*]	±		1844
	RegisteredShareholderName <RegdShrhldrNm>	[0..1]	±		1846

#### 65.1.30.7.1 PrincipalAccountParty <PrncplAcctPty>

*Presence:* [1..1]

*Definition:* Main party associated with the account.

**PrincipalAccountParty <PrncplAcctPty>** contains one of the following **AccountParties12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PrimaryOwner <PmryOwnr>	[1..1]	±		1816
Or	Trustee <Trstee>	[1..5]	±		1818
Or	Nominee <Nmnee>	[1..1]	±		1820
Or}	JointOwner <JntOwnr>	[1..5]	±		1822

##### 65.1.30.7.1.1 PrimaryOwner <PmryOwnr>

*Presence:* [1..1]

*Definition:* Single owner of the account or, when the ownership is split among several owners, the primary owner is the one giving its address and account details for the registration.

**PrimaryOwner <PmryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.1.2 Trustee <Trstee>

*Presence:* [1..5]

*Definition:* Legal owners of the property. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrlId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdttlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.1.3 Nominee <Nmnee>

*Presence:* [1..1]

*Definition:* Entity named by the beneficial owner to act on its behalf, often to facilitate dealing, or to conceal the identity of the beneficiary.



**Nominee <Nmnee>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.1.4 JointOwner <JntOwnr>

*Presence:* [1..5]

*Definition:* Co-owner of the investment account when the ownership is assigned to more than one party.

**JointOwner <JntOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.2 SecondaryOwner <ScndryOwnr>

*Presence:* [0..\*]

*Definition:* Entity that is not the primary owner when the ownership of the investment account is split among several owners.

**SecondaryOwner <ScndryOwnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

### 65.1.30.7.3 Beneficiary <Bnfcry>

*Presence:* [0..\*]

*Definition:* Ultimate party that is entitled to either receive the benefits of the ownership of a financial instrument, or to be paid/credited as a result of a transfer.

**Beneficiary <Bnfcry>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCAReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.4 PowerOfAttorney <PwrOfAttny>

*Presence:* [0..\*]

*Definition:* Entity that was given the authority by another entity to act on its behalf.



**PowerOfAttorney <PwrOfAttny>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrlId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.5 LegalGuardian <LglGuardn>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.

**LegalGuardian <LglGuardn>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.6 CustodianForMinor <CtdnForMnr>

*Presence:* [0..\*]

*Definition:* Entity that holds shares/units on behalf of a legal minor. Although the account is registered under the name of the minor, the custodian retains control of the account.

**CustodianForMinor <CtdnForMnr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.7 SuccessorOnDeath <SucssrOnDth>

*Presence:* [0..\*]

*Definition:* Deceased's estate, or successor, to whom the respective percentage of ownership will be transferred upon the death of one of the owners.

**SuccessorOnDeath <SucssrOnDth>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

### 65.1.30.7.8 Administrator <Admstr>

*Presence:* [0..\*]

*Definition:* Entity that has been appointed by a legal authority to act on behalf of a person or organisation that has gone bankrupt.



**Administrator <Admstr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.9 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "[ExtendedParty14](#)" on page 1868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1868
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1868

#### 65.1.30.7.10 Granter <Grntr>

*Presence:* [0..\*]

*Definition:* Granter role in the hedge funds industry.

**Granter <Grntr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrlId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.11 Settlor <Sttlr>

*Presence:* [0..\*]

*Definition:* Entity that creates a trust or contributes assets to the trust.

**Settlor <Sttlr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASts>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrlId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWlth>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.12 SeniorManagingOfficial <SnrMggOffcl>

*Presence:* [0..\*]

*Definition:* Party that makes, or participates in the making of, decisions that affect the whole, or a substantial part, of the business of a customer of a reporting entity or that has the capacity to affect significantly the financial standing of a customer of a reporting entity. Typically, this is a controlling person of a corporate (ownership type CORP).

**SeniorManagingOfficial <SnrMggOffcl>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrlId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdttlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.13 Protector <Prtctr>

*Presence:* [0..\*]

*Definition:* Person appointed under the trust instrument to direct or restrain the trustees in relation to their administration of the trust. Typically, this is a controlling person of a trust (ownership type TRUS) or other non-individual organisation (ownership type ONIS).



**Protector <Prtctr>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

#### 65.1.30.7.14 RegisteredShareholderName <RegdShrhldrNm>

*Presence:* [0..1]

*Definition:* Party that registers its name with the issuer and the name used for the registration.

**RegisteredShareholderName <RegdShrhldrNm>** contains one of the following elements (see "RegisteredShareholderName1Choice" on page 1898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1899
	NamePrefix <NmPrfx>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	GivenName <GvnNm>	[0..1]	Text		1900
	MiddleName <MddlNm>	[0..1]	Text		1900
	Name <Nm>	[1..1]	Text		1900
	PostalAddress <PstlAdr>	[1..5]	±	C23	1901
Or}	Organisation <Org>	[1..1]			1901
	Name <Nm>	[1..1]	Text		1902
	ShortName <ShrtNm>	[0..1]	Text		1902
	PostalAddress <PstlAdr>	[1..5]	±	C23	1902

### 65.1.30.8 ModificationScope43

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1847
	Placement <Plcmnt>	[1..1]	±	C30	1847

#### 65.1.30.8.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.30.8.2 Placement <Plcmnt>

*Presence:* [1..1]

*Definition:* Referral information.

*Impacted by:* C30 "ReferredPlacementAgentRule"

**Placement <Plcmnt>** contains the following elements (see "ReferredAgent3" on page 1867 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		1867
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		1867

#### Constraints

- **ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

### 65.1.30.9 ModificationScope40

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		1848
	Intermediary <Intrmy>	[1..1]	±		1848

#### 65.1.30.9.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Type of modification to be applied.

*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.30.9.2 Intermediary <Intrmy>

*Presence:* [1..1]

*Definition:* Intermediary or other party related to the management of the account.

**Intermediary <Intrmy>** contains the following elements (see "Intermediary46" on page 1870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1871
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1871
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1872
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1872
	Account <Acct>	[0..1]			1872
	Identification <Id>	[0..1]	Text		1872
	AccountServicer <AcctSvcr>	[1..1]	±		1872
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		1873
	Role <Role>	[0..1]	±		1873
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1873
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1874
	NameAndAddress <NmAndAdr>	[0..1]	±		1874

### 65.1.30.10 ExtendedParty15

*Definition:* Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1849
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1849

#### 65.1.30.10.1 ExtendedPartyRole <XtndedPtyRole>

*Presence:* [1..1]

*Definition:* Other type of party's role.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.30.10.2 OtherPartyDetails <OthrPtyDtls>

*Presence:* [1..1]

*Definition:* Detailed ownership information about a party.

**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "InvestmentAccountOwnershipInformation17" on page 1418 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1420
{Or	Organisation <Org>	[1..1]	±	C20	1420
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1421
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1423
	ModifiedInvestorProfileValidation <ModfdInvstrPrflVldtn>	[0..*]			1423
	ModificationScopeIndication <ModScplndctn>	[1..1]	CodeSet		1424
	InvestorProfileValidation <InvstrPrflVldtn>	[1..1]			1424
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1425
	ValidatingParty <VldtngPty>	[0..1]	Text		1425
	CheckingParty <ChckngPty>	[0..1]	Text		1425
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1426
	CertificateType <CertTp>	[0..1]	±		1426
	CheckingDate <ChckngDt>	[0..1]	Date		1426
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1426
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1427
	SalaryRange <SlryRg>	[0..1]	Text		1427
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1427
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1427
	RiskLevel <RskLvl>	[0..1]	±		1427
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1427
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1428
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1428
	ClientIdentification <Clntld>	[0..1]	Text		1428
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1429
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1429
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1429
	Notification <Ntfctn>	[0..*]	±		1429
	FATCAFormType <FATCAFormTp>	[0..*]	±		1429
	FATCAStatus <FATCASts>	[0..*]	±		1430

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1430
	CRSFormType <CRSFormTp>	[0..*]	±		1430
	CRSStatus <CRSSts>	[0..*]	±		1430
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1431
	OtherIdentification <Othrld>	[0..*]	±		1431
	TaxExemption <TaxXmptn>	[0..1]	±		1432
	TaxReporting <TaxRptg>	[0..*]	±		1432
	Language <Lang>	[0..1]	CodeSet	C34	1433
	MailType <MailTp>	[0..1]	±		1434
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1434
	MonetaryWealth <MntryWlth>	[0..1]	±		1434
	EquityValue <EqtyVal>	[0..1]	±		1434
	WorkingCapital <WorkgCptl>	[0..1]	±		1435
	CompanyLink <CpnyLk>	[0..1]	±		1435
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1435
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1435
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1436
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1436
	AccountingStatus <AcctgSts>	[0..1]	±		1437
	AdditionalInformation <AddtlInf>	[0..*]	±		1437
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1438

### 65.1.30.11 Intermediary47

*Definition:* Identification of a party and its role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </d>	[1..1]	±		1852
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1852
	Account <Acct>	[0..1]			1852
	Identification </d>	[0..1]	Text		1852
	AccountServicer <AcctSvcr>	[1..1]	±		1852

**65.1.30.11.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

**65.1.30.11.2 LegalEntityIdentifier <LglNttyldr>**

*Presence:* [0..1]

*Definition:* Identification of the party with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "[LEIIdentifier](#)" on page 2529

**65.1.30.11.3 Account <Acct>**

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1852
	AccountServicer <AcctSvcr>	[1..1]	±		1852

**65.1.30.11.3.1 Identification <Id>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.30.11.3.2 AccountServicer <AcctSvcr>**

*Presence:* [1..1]

*Definition:* Institution servicing an account and assigning the account identifier to the account owner.



**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

### 65.1.30.12 RegulatoryInformation1

*Definition:* Regulatory information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Sector <Sctr>	[0..1]	Text		1853
	Branch <Brnch>	[0..1]	Text		1853
	Group <Grp>	[0..1]	Text		1853
	Other <Othr>	[0..1]	Text		1853

#### 65.1.30.12.1 Sector <Sctr>

*Presence:* [0..1]

*Definition:* Sector of economic activity, for example, SAE in the Italian market.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.12.2 Branch <Brnch>

*Presence:* [0..1]

*Definition:* Branch of economic activity, for example, RAE in the Italian market.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.12.3 Group <Grp>

*Presence:* [0..1]

*Definition:* Group of economic activity, for example, a code issued by a regulator.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.12.4 Other <Othr>

*Presence:* [0..1]

*Definition:* Other regulatory information.

*Datatype:* "Max35Text" on page 2536

### 65.1.30.13 CompanyLink1Choice

*Definition:* Choice of formats for the trading party or broker.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1854
Or}	Proprietary <Prtry>	[1..1]	±		1854

### 65.1.30.13.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Company link expressed as a code.

*Datatype:* "CompanyLink1Code" on page 2426

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).
PCOM	ParentCompany	Parent company of the broker.
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

### 65.1.30.13.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Company link expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.30.14 CountryAndResidentialStatusType2

*Definition:* Country and residential status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1855
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		1855

### 65.1.30.14.1 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country to which the residential status is applicable.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.30.14.2 ResidentialStatus <ResdtlSts>

*Presence:* [1..1]

*Definition:* Residential status of the organisation or individual, for example, non-permanent resident.

*Datatype:* "ResidentialStatus1Code" on page 2491

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

## 65.1.30.15 MailType1Choice

*Definition:* Choice of formats for the type of mail.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1855
Or}	Proprietary <Prtry>	[1..1]	±		1856

### 65.1.30.15.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Mail type expressed as a code.

*Datatype:* "MailType1Code" on page 2466

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

### 65.1.30.15.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Mail type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.16 CRSStatus4

*Definition:* Common Reporting Standard (CRS) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1856
{Or	Code <Cd>	[1..1]	CodeSet		1857
Or}	Proprietary <Prtry>	[1..1]	±		1858
	Source <Src>	[0..1]			1858
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858
	ExceptionalReportingCountry <XcptnlRptgCtry>	[0..1]	CodeSet	C11	1859

#### 65.1.30.16.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Common Reporting Standard (CRS) status.

**Type <Tp>** contains one of the following **CRSStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1857
Or}	Proprietary <Prtry>	[1..1]	±		1858

**65.1.30.16.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Common Reporting Standard (CRS) status expressed as a code.*Datatype:* "CRSStatus1Code" on page 2433

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depository, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.

CodeName	Name	Definition
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

#### 65.1.30.16.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Common Reporting Standard (CRS) status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.30.16.2 Source <Src>

*Presence:* [0..1]

*Definition:* Source of the Common Reporting Standard (CRS) status.

**Source <Src>** contains one of the following **CRSSource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1858
Or}	Proprietary <Prtry>	[1..1]	±		1858

##### 65.1.30.16.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Source of the Common Reporting Standard (CRS) status expressed as a code.

*Datatype:* "[CRSSourceStatus1Code](#)" on page 2433

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

##### 65.1.30.16.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Source of Common Reporting Standard (CRS) status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.16.3 ExceptionalReportingCountry <XcptnlRptgCtry>

*Presence:* [0..1]

*Definition:* Reporting country for the CRS status when there is an exception at the country level.

*Impacted by:* [C11 "Country"](#)

*Datatype:* ["CountryCode"](#) on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.30.17 CRSForm1Choice

*Definition:* Choice of formats for the type of Common Reporting Standard (CRS) form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1859
Or}	Proprietary <Prtry>	[1..1]	±		1860

#### 65.1.30.17.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a code.

*Datatype:* ["CRSFormType1Code"](#) on page 2432

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.

CodeName	Name	Definition
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.
CER7	Standardised	Standardised industry coding system for the entity.

### 65.1.30.17.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Foreign Account Tax Compliance Act (FATCA) form expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.18 FATCAStatus2

*Definition:* Foreign Account Tax Compliance Act (FATCA) status information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			1860
{Or	Code <Cd>	[1..1]	CodeSet		1861
Or}	Proprietary <Prtry>	[1..1]	±		1861
	Source <Src>	[0..1]			1862
{Or	Code <Cd>	[1..1]	CodeSet		1862
Or}	Proprietary <Prtry>	[1..1]	±		1862

#### 65.1.30.18.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Foreign Account Tax Compliance Act (FATCA) status.

**Type <Tp>** contains one of the following **FATCAStatus2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1861
Or}	Proprietary <Prtry>	[1..1]	±		1861



**65.1.30.18.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Foreign Account Tax Compliance Act (FATCA) status expressed as a code.*Datatype:* "FATCAStatus1Code" on page 2441

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).
F103	FATCA103	Account holder type is a non-participating financial institution.
F104	FATCA104	Account holder type is a specified US person.
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

**65.1.30.18.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.18.2 Source <Src>

*Presence:* [0..1]

*Definition:* Source of the Foreign Account Tax Compliance Act (FATCA) status.

**Source <Src>** contains one of the following **FATCASource1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1862
Or}	Proprietary <Prtry>	[1..1]	±		1862

#### 65.1.30.18.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Source of the Foreign Account Tax Compliance Act (FATCA) status expressed as a code.

*Datatype:* "FATCASourceStatus1Code" on page 2441

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

#### 65.1.30.18.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Source of Foreign Account Tax Compliance Act (FATCA) status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.19 InformationDistribution1Choice

*Definition:* Choice of formats for the specification of how information is to be distributed.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1863
Or}	Proprietary <Prtry>	[1..1]	±		1863

**65.1.30.19.1 Code <Cd>***Presence:* [1..1]*Definition:* Information distribution expressed as a code.*Datatype:* "InformationDistribution2Code" on page 2449

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

**65.1.30.19.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Information distribution expressed as a code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.30.20 OwnershipBeneficiaryRate1***Definition:* Percentage of ownership or of beneficial ownership of the shares/units in the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Rate <Rate>	[0..1]	Rate		1863
	Fraction <Frctn>	[0..1]	Text		1863

**Constraints**

- OwnershipBeneficiaryRateRule**

Either Rate or Fraction must be present. Both may be present.

**65.1.30.20.1 Rate <Rate>***Presence:* [0..1]*Definition:* Ownership or beneficial ownership expressed as a percentage.*Datatype:* "PercentageRate" on page 2534**65.1.30.20.2 Fraction <Frctn>***Presence:* [0..1]*Definition:* Ownership or beneficial ownership expressed as a fraction or another form.

Datatype: "Max35Text" on page 2536

### 65.1.30.21 DataBaseCheck1

*Definition:* Information about a database.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DatabaseCheck <DBChck>	[1..1]	Indicator		1864
	Identification <Id>	[1..1]	Text		1864

#### 65.1.30.21.1 DatabaseCheck <DBChck>

*Presence:* [1..1]

*Definition:* Indicates whether the individual or organisation is listed in an on-line global Know Your Customer (KYC) database.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.30.21.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the database.

*Datatype:* "Max35Text" on page 2536

### 65.1.30.22 KYCCheckType1Choice

*Definition:* Choice of formats for the specification of the Know Your Customer (KYC) check type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1864
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.30.22.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of Know Your Customer (KYC) check type expressed as a code.

*Datatype:* "KnowYourCustomerCheckType1Code" on page 2465

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.

CodeName	Name	Definition
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

### 65.1.30.22.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of Know Your Customer (KYC) check type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.23 RiskLevel2Choice

*Definition:* Choice of formats for the specification of the risk level.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1865
Or}	Proprietary <Prtry>	[1..1]	±		1865

#### 65.1.30.23.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Risk level expressed as code.

*Datatype:* "[RiskLevel1Code](#)" on page 2491

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.
MEDM	Medium	Medium.

#### 65.1.30.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Risk level expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.30.24 CertificationType1Choice

*Definition:* Choice of formats for the specification of the certificate type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1866
Or}	Proprietary <Prtry>	[1..1]	±		1866

##### 65.1.30.24.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Certificate type expressed as a code.

*Datatype:* "[CertificateType2Code](#)" on page 2423

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCU	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.
PASS	Passport	Government issued form of picture identification - passport.
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

##### 65.1.30.24.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Certificate type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.25 ReferredAgent3

*Definition:* Provides the placement agent identification for a hedge fund if the investor was referred by one.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Referred <Rfrd>	[1..1]	CodeSet		1867
	ReferredPlacementAgent <RfrdPlcmntAgt>	[0..1]	±		1867

#### Constraints

- **ReferredPlacementAgentRule**

ReferredPlacementAgent may only be present if Referred is REFR (Referred).

#### 65.1.30.25.1 Referred <Rfrd>

*Presence:* [1..1]

*Definition:* Indicates if the investor was referred by a placement agent.

*Datatype:* "[Referred1Code](#)" on page 2482

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

#### 65.1.30.25.2 ReferredPlacementAgent <RfrdPlcmntAgt>

*Presence:* [0..1]

*Definition:* Placement agent that referred the investor.

**ReferredPlacementAgent <RfrdPlcmntAgt>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

### 65.1.30.26 ExtendedParty14

*Definition:* Party and account information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExtendedPartyRole <XtndedPtyRole>	[1..1]	Text		1868
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1868

#### 65.1.30.26.1 ExtendedPartyRole <XtndedPtyRole>

*Presence:* [1..1]

*Definition:* Other type of party's role.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.30.26.2 OtherPartyDetails <OthrPtyDtls>

*Presence:* [1..1]

*Definition:* Detailed ownership information about a party.



**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "InvestmentAccountOwnershipInformation16" on page 1462 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1464
{Or	Organisation <Org>	[1..1]	±	C24	1464
Or}	IndividualPerson <IndvPrsn>	[1..1]	±		1465
	MoneyLaunderingCheck <MnyLndrgChck>	[0..1]	±		1467
	InvestorProfileValidation <InvstrPrflVldtn>	[0..*]			1467
	CertificationIndicator <CertfctnInd>	[0..1]	Indicator		1468
	ValidatingParty <VldtngPty>	[0..1]	Text		1468
	CheckingParty <ChckngPty>	[0..1]	Text		1468
	ResponsibleParty <RspnsblPty>	[0..1]	Text		1469
	CertificateType <CertTp>	[0..1]	±		1469
	CheckingDate <ChckngDt>	[0..1]	Date		1469
	CheckingFrequency <ChckngFrqcy>	[0..1]	CodeSet		1469
	NextRevisionDate <NxtRvsnDt>	[0..1]	Date		1470
	SalaryRange <SlryRg>	[0..1]	Text		1470
	SourceOfWealth <SrcOfWlth>	[0..1]	Text		1470
	CustomerConductClassification <CstmrCndctClssfctn>	[0..1]	±		1470
	RiskLevel <RskLvl>	[0..1]	±		1470
	KnowYourCustomerCheckType <KnowYourCstmrChckTp>	[0..1]	±		1470
	KnowYourCustomerDatabaseCheck <KnowYourCstmrDBChck>	[0..1]	±		1471
	OwnershipBeneficiaryRate <OwnrshBnfcryRate>	[0..1]	±	C25	1471
	ClientIdentification <Clntld>	[0..1]	Text		1471
	FiscalExemption <FscIxmptn>	[0..1]	Indicator		1472
	SignatoryRightIndicator <SgntryRghtInd>	[0..1]	Indicator		1472
	MiFIDClassification <MiFIDClssfctn>	[0..1]	±		1472
	Notification <Ntfctn>	[0..*]	±		1472
	FATCAFormType <FATCAFormTp>	[0..*]	±		1472
	FATCAStatus <FATCASTs>	[0..*]	±		1473
	FATCARReportingDate <FATCARptgDt>	[0..1]	Date		1473
	CRSFormType <CRSFormTp>	[0..*]	±		1473

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CRSStatus <CRSSts>	[0..*]	±		1473
	CRSReportingDate <CRSRptgDt>	[0..1]	Date		1474
	OtherIdentification <OthrId>	[0..*]	±		1474
	TaxExemption <TaxXmptn>	[0..1]	±		1475
	TaxReporting <TaxRptg>	[0..*]	±		1475
	Language <Lang>	[0..1]	CodeSet	C34	1476
	MailType <MailTp>	[0..1]	±		1477
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		1477
	MonetaryWealth <MntryWith>	[0..1]	±		1477
	EquityValue <EqtyVal>	[0..1]	±		1477
	WorkingCapital <WorkgCptl>	[0..1]	±		1478
	CompanyLink <CpnyLk>	[0..1]	±		1478
	ElectronicMailingServiceReference <ElctrncMlngSvcRef>	[0..1]	Text		1478
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1478
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1479
	AdditionalRegulatoryInformation <AddtlRgltryInf>	[0..1]	±		1479
	AccountingStatus <AcctgSts>	[0..1]	±		1480
	AdditionalInformation <AddtlInf>	[0..*]	±		1480
	ControllingParty <CtrlgPty>	[0..1]	Indicator		1481

### 65.1.30.27 Intermediary46

*Definition:* Identification of a party and its role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1871
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1871
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1872
	LegalEntityIdentifier <LglNttyldr>	[0..1]	IdentifierSet		1872
	Account <Acct>	[0..1]			1872
	Identification <Id>	[0..1]	Text		1872
	AccountServicer <AcctSvcr>	[1..1]	±		1872
	WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>	[0..1]	Indicator		1873
	Role <Role>	[0..1]	±		1873
	PrimaryCommunicationAddress <PmryComAdr>	[0..*]	±		1873
	SecondaryCommunicationAddress <ScndryComAdr>	[0..*]	±		1874
	NameAndAddress <NmAndAdr>	[0..1]	±		1874

#### 65.1.30.27.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for an organisation that is allocated by an institution.

**Identification <Id>** contains one of the following **PartyIdentification177Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1871
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1872

##### 65.1.30.27.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

**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.

**65.1.30.27.1.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.30.27.2 LegalEntityIdentifier <LglNttyldr>**

*Presence:* [0..1]

*Definition:* Identification of the organisation with a Legal Entity Identifier. This is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Datatype:* "[LEIIdentifier](#)" on page 2529

**65.1.30.27.3 Account <Acct>**

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1872
	AccountServicer <AcctSvcr>	[1..1]	±		1872

**65.1.30.27.3.1 Identification <Id>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.30.27.3.2 AccountServicer <AcctSvcr>**

*Presence:* [1..1]

*Definition:* Institution servicing an account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.30.27.4 WaivedTrailerCommissionIndicator <WvdTrlrComssnInd>

*Presence:* [0..1]

*Definition:* Non-enforcement of the right to all or part of a commission by the party entitled to the commission.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.30.27.5 Role <Role>

*Presence:* [0..1]

*Definition:* Role or function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "PartyRole2Choice" on page 1908 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1908
Or}	Proprietary <Prtry>	[1..1]	±		1910

#### 65.1.30.27.6 PrimaryCommunicationAddress <PmryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**PrimaryCommunicationAddress <PmryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.30.27.7 SecondaryCommunicationAddress <ScndryComAdr>

*Presence:* [0..\*]

*Definition:* Communication device number or electronic address used for communication.

**SecondaryCommunicationAddress <ScndryComAdr>** contains the following elements (see "CommunicationAddress6" on page 1008 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1009
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Email <Email>	[0..1]	Text		1009
	Phone <Phne>	[0..1]	Text		1009
	Mobile <Mob>	[0..1]	Text		1009
	FaxNumber <FaxNb>	[0..1]	Text		1009
	TelexAddress <TlxAdr>	[0..1]	Text		1010
	URLAddress <URLAdr>	[0..1]	Text		1010

#### 65.1.30.27.8 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress4](#)" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

### 65.1.30.28 PartyIdentification132

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.30.28.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C1 "[AnyBIC](#)"

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 2522

#### 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.

#### 65.1.30.28.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification2Choice" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1131
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1131
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1132
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1132
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1132
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1132
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1132
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1132
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1132
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1133
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1133
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1133
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1133
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1133
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1133
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1133
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1134
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1134
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1134
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1134
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1134
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1134
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1135

### 65.1.30.28.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.



**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.30.28.4 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see ["GenericIdentification1"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.30.28.5 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2529

#### 65.1.30.29 OrderDesk1

*Definition:* Identification of an order desk.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderDesk <OrdrDsk>	[0..1]	±		1877
	ClosureDates <ClsrDts>	[0..*]	Date		1878
	AdditionalInformation <AddtlInf>	[0..*]	±		1878

#### 65.1.30.29.1 OrderDesk <OrdrDsk>

*Presence:* [0..1]

*Definition:* Contact information for the order desk.

**OrderDesk <OrdrDsk>** contains the following elements (see ["ContactAttributes5"](#) on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

#### 65.1.30.29.2 ClosureDates <ClsrDts>

*Presence:* [0..\*]

*Definition:* Days on which the order desk is closed.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.30.29.3 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the main order desk.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15"](#) on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.30.30 ExtendedParty13

*Definition:* Other type of party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		1878
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1879

##### 65.1.30.30.1 PartyRole <PtyRole>

*Presence:* [1..1]

*Definition:* Role of the party.

**PartyRole <PtyRole>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.30.2 OtherPartyDetails <OthrPtyDtls>

*Presence:* [1..1]

*Definition:* Identification and communication information about the party.

**OtherPartyDetails <OthrPtyDtls>** contains the following elements (see "[ContactAttributes5](#)" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

### 65.1.30.31 ContactAttributes5

*Definition:* Communication device number or address used for communication.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

**65.1.30.31.1 Name <Nm>***Presence:* [1..1]*Definition:* Name of the party.*Datatype:* "Max350Text" on page 2536**65.1.30.31.2 PostalAddress <PstlAdr>***Presence:* [0..1]*Definition:* Address of the party.**PostalAddress <PstlAdr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

**65.1.30.31.3 PhoneNumber <PhneNb>***Presence:* [0..1]*Definition:* Phone number of the party.*Datatype:* "PhoneNumber" on page 2537**65.1.30.31.4 FaxNumber <FaxNb>***Presence:* [0..1]*Definition:* Fax number of the party.*Datatype:* "PhoneNumber" on page 2537**65.1.30.31.5 EmailAddress <EmailAdr>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail) for the party.*Datatype:* "Max256Text" on page 2535**65.1.30.31.6 URLAddress <URLAdr>***Presence:* [0..1]*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

*Datatype:* "Max2048Text" on page 2535

#### 65.1.30.31.7 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

##### 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.

#### 65.1.30.31.8 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.30.32 FundParties1

*Definition:* Parties related to an investment fund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Guarantor <Guarnt>	[0..1]	±		1881
	Auditor <Audtr>	[0..1]	±		1882
	Trustee <Trstee>	[0..1]	±		1882
	OtherParty <OthrPty>	[0..*]	±		1883

##### 65.1.30.32.1 Guarantor <Guarnt>

*Presence:* [0..1]

*Definition:* Guarantor of the financial instrument. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 00080.

**Guarantor <Guarnt>** contains the following elements (see "ContactAttributes5" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

#### 65.1.30.32.2 Auditor <Audtr>

*Presence:* [0..1]

*Definition:* Party that regularly monitors compliance with the legal regulations.

**Auditor <Audtr>** contains the following elements (see "ContactAttributes5" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

#### 65.1.30.32.3 Trustee <Trstee>

*Presence:* [0..1]

*Definition:* Legal owner of the financial instrument. However, the beneficiary has the equitable or beneficial ownership.

**Trustee <Trstee>** contains the following elements (see "ContactAttributes5" on page 1879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1880
	PostalAddress <PstlAdr>	[0..1]	±		1880
	PhoneNumber <PhneNb>	[0..1]	Text		1880
	FaxNumber <FaxNb>	[0..1]	Text		1880
	EmailAddress <EmailAdr>	[0..1]	Text		1880
	URLAddress <URLAdr>	[0..1]	Text		1880
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1881
	LEI <LEI>	[0..1]	IdentifierSet		1881

#### 65.1.30.32.4 OtherParty <OthrPty>

*Presence:* [0..\*]

*Definition:* Other type of party.

**OtherParty <OthrPty>** contains the following elements (see "ExtendedParty13" on page 1878 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyRole <PtyRole>	[1..1]	±		1878
	OtherPartyDetails <OthrPtyDtls>	[1..1]	±		1879

#### 65.1.30.33 Intermediary43

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

##### 65.1.30.33.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.30.33.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Account <Acct>** contains the following **Account27** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884

##### 65.1.30.33.2.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

##### 65.1.30.33.2.2 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Institution that maintains the records where the account is held.

**AccountServicer <AcctSvcr>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

##### 65.1.30.33.3 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.



**Role <Role>** contains one of the following elements (see ["Role4Choice"](#) on page 1906 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1907
Or}	Proprietary <Prtry>	[1..1]	±		1908

#### 65.1.30.33.4 ContactPerson <CtctPrsn>

*Presence:* [0..1]

*Definition:* Contact person and contact information.

**ContactPerson <CtctPrsn>** contains the following elements (see ["ContactIdentification2"](#) on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2025
	GivenName <GvnNm>	[0..1]	Text		2025
	Name <Nm>	[1..1]	Text		2025
	PhoneNumber <PhneNb>	[0..1]	Text		2025
	MobileNumber <MobNb>	[0..1]	Text		2025
	FaxNumber <FaxNb>	[0..1]	Text		2026
	EmailAddress <EmailAdr>	[0..1]	Text		2026

#### 65.1.30.34 PartyIdentification123Choice

*Definition:* Choice between different formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1885
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1886
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1886

##### 65.1.30.34.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C1 "AnyBIC"](#)

*Datatype:* ["AnyBICDec2014Identifier"](#) on page 2522

**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.

**65.1.30.34.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party, using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.30.34.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

**65.1.30.35 PartyIdentification141**

*Definition:* Identification of an entity involved in an activity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1887
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1887
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1887
Or}	Country <Ctry>	[1..1]	CodeSet	C11	1888
	LEI <LEI>	[0..1]	IdentifierSet		1888
	AlternateIdentification <AltrnId>	[0..1]	±		1888
	ProcessingDate <PrcgDt>	[0..1]	±		1888
	ProcessingIdentification <PrcgId>	[0..1]	Text		1889
	AdditionalInformation <AddtlInf>	[0..1]	±	C3	1889

### 65.1.30.35.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify the organisation.

**Identification <Id>** contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1887
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1887
Or}	Country <Ctry>	[1..1]	CodeSet	C11	1888

#### 65.1.30.35.1.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

#### 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.

#### 65.1.30.35.1.2 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.30.35.1.3 Country <Ctry>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* [C11 "Country"](#)

*Datatype:* "[CountryCode](#)" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.30.35.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2529

#### 65.1.30.35.3 AlternateIdentification <AltrId>

*Presence:* [0..1]

*Definition:* Alternate identification for the party.

**AlternateIdentification <AltrId>** contains the following elements (see "[AlternatePartyIdentification7](#)" on page 1897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1898
	Country <Ctry>	[1..1]	CodeSet	C11	1898
	AlternateIdentification <AltrId>	[1..1]	Text		1898

#### 65.1.30.35.4 ProcessingDate <PrcgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the instruction was processed by the specified party.

**ProcessingDate <PrcgDt>** contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.30.35.5 ProcessingIdentification <PrcgId>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transaction for the party identified.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.30.35.6 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the party.

*Impacted by:* [C3 "AdditonalDetailsGuideline"](#)

**AdditionalInformation <AddtlInf>** contains the following elements (see ["PartyTextInformation1"](#) on page 1912 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		1912
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		1912
	RegistrationDetails <RegnDtls>	[0..1]	Text		1912

#### Constraints

- AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

#### 65.1.30.36 PartyIdentification126Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1889
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1890

#### 65.1.30.36.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* [C1 "AnyBIC"](#)

*Datatype:* ["AnyBICDec2014Identifier"](#) on page 2522

#### 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.

### 65.1.30.36.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see ["GenericIdentification1"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.30.37 PartyIdentification140

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1890
	LEI <LEI>	[0..1]	IdentifierSet		1890

#### 65.1.30.37.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see ["PartyIdentification126Choice"](#) on page 1889 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1889
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1890

#### 65.1.30.37.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2529

### 65.1.30.38 PartyIdentification125Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.30.38.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

#### 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.

#### 65.1.30.38.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.30.38.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on [page 2074](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

### 65.1.30.39 PartyIdentification139

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.30.39.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on [page 1891](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.30.39.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on [page 2529](#)

### 65.1.30.40 Intermediary39

*Definition:* Party that provides services to investors relating to financial products.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1893
	Account <Acct>	[0..1]			1893
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894
	OrderOriginatorEligibility <OrdrOrgtrElgblty>	[0..1]	CodeSet		1894
	TradingPartyCapacity <TradgPtyCpcty>	[0..1]	CodeSet		1894
	Role <Role>	[0..1]	±		1894

### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 65.1.30.40.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.30.40.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1893
	AccountServicer <AcctSvcr>	[0..1]	±		1894

##### 65.1.30.40.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.30.40.2.2 AccountServicer <AcctSvcr>***Presence:* [0..1]*Definition:* Institution servicing the account and assigning the account identifier to the account owner.**AccountServicer <AcctSvcr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.30.40.3 OrderOriginatorEligibility <OrdrgtrElgblty>***Presence:* [0..1]*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.*Datatype:* "OrderOriginatorEligibility1Code" on page 2469

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

**65.1.30.40.4 TradingPartyCapacity <TradgPtyCpcty>***Presence:* [0..1]*Definition:* Capacity of the party executing an order.*Datatype:* "TradingCapacity8Code" on page 2511

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

**65.1.30.40.5 Role <Role>***Presence:* [0..1]*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "[InvestmentFundRole2Choice](#)" on page 1651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1651
Or}	Proprietary <Prtry>	[1..1]	±		1653

### 65.1.30.41 PartyIdentification113

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.30.41.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Party <Pty>** contains one of the following elements (see "[PartyIdentification90Choice](#)" on page 1905 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C7	1906
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1906
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1906

#### 65.1.30.41.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "[LEIIdentifier](#)" on page 2529

### 65.1.30.42 Intermediary40

*Definition:* Party that provides services to investors relating to financial products.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1896
	Account <Acct>	[0..1]			1896
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1897
	Role <Role>	[0..1]	±		1897

### Constraints

- **OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 (UnderlyingClient1) or UCL2 (UnderlyingClient2).

#### 65.1.30.42.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.30.42.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Business relationship between two entities; one entity is the account owner, the other entity is the account servicer.

**Account <Acct>** contains the following **Account22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1896
	AccountServicer <AcctSvcr>	[0..1]	±		1897

##### 65.1.30.42.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.42.2.2 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Institution servicing the account and assigning the account identifier to the account owner.

**AccountServicer <AcctSvcr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.30.42.3 OrderOriginatorEligibility <OrdrgtrElgblty>

*Presence:* [0..1]

*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Datatype:* "OrderOriginatorEligibility1Code" on page 2469

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

#### 65.1.30.42.4 Role <Role>

*Presence:* [0..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "InvestmentFundRole2Choice" on page 1651 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1651
Or}	Proprietary <Prtry>	[1..1]	±		1653

#### 65.1.30.43 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]	±		1898
	Country <Ctry>	[1..1]	CodeSet	C11	1898
	AlternateIdentification <AltrnId>	[1..1]	Text		1898

#### 65.1.30.43.1 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 1353 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1353
Or}	Proprietary <Prtry>	[1..1]	±		1354

#### 65.1.30.43.2 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:* C11 "Country"

*Datatype:* "[CountryCode](#)" on page 2431

##### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.30.43.3 AlternateIdentification <AltrnId>

*Presence:* [1..1]

*Definition:* Alternate identification for a party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.30.44 RegisteredShareholderName1Choice

*Definition:* Choice of individual or organisation name and address.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndividualPerson <IndvPrsn>	[1..1]			1899
	NamePrefix <NmPrfx>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	GivenName <GvnNm>	[0..1]	Text		1900
	MiddleName <MddlNm>	[0..1]	Text		1900
	Name <Nm>	[1..1]	Text		1900
	PostalAddress <PstlAdr>	[1..5]	±	C23	1901
Or}	Organisation <Org>	[1..1]			1901
	Name <Nm>	[1..1]	Text		1902
	ShortName <ShrtNm>	[0..1]	Text		1902
	PostalAddress <PstlAdr>	[1..5]	±	C23	1902

#### 65.1.30.44.1 IndividualPerson <IndvPrsn>

*Presence:* [1..1]

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

**IndividualPerson <IndvPrsn>** contains the following **IndividualPerson29** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			1899
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900
	GivenName <GvnNm>	[0..1]	Text		1900
	MiddleName <MddlNm>	[0..1]	Text		1900
	Name <Nm>	[1..1]	Text		1900
	PostalAddress <PstlAdr>	[1..5]	±	C23	1901

##### 65.1.30.44.1.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Term used to address the person.

**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1900
Or}	Proprietary <Prtry>	[1..1]	±		1900

#### 65.1.30.44.1.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a code.

*Datatype:* "NamePrefix1Code" on page 2467

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

#### 65.1.30.44.1.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.30.44.1.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.44.1.3 MiddleName <MddINm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.44.1.4 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that person.



Datatype: "Max350Text" on page 2536

#### 65.1.30.44.1.5 PostalAddress <PstIAdr>

Presence: [1..5]

Definition: Address of the person.

Impacted by: C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.30.44.2 Organisation <Org>

Presence: [1..1]

*Definition:* Organised structure that is set up for a particular purpose, for example, a business, government body, department, charity, or financial institution.

**Organisation <Org>** contains the following **Organisation23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1902
	ShortName <ShrtNm>	[0..1]	Text		1902
	PostalAddress <PstlAdr>	[1..5]	±	C23	1902

#### 65.1.30.44.2.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 2536

#### 65.1.30.44.2.2 ShortName <ShrtNm>

*Presence:* [0..1]

*Definition:* Name of the organisation in short form.

*Datatype:* "Max35Text" on page 2536

#### 65.1.30.44.2.3 PostalAddress <PstlAdr>

*Presence:* [1..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

### 65.1.30.45 PartyRole4Choice

*Definition:* Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1904
Or}	Proprietary <Prtry>	[1..1]	±		1905

**65.1.30.45.1 Code <Cd>***Presence:* [1..1]*Definition:* Role expressed as a code.*Datatype:* "InvestmentFundRole7Code" on page 2460

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the

CodeName	Name	Definition
		investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

#### 65.1.30.45.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.30.46 PartyIdentification90Choice

*Definition:* Choice of formats for the identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C7	1906
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1906
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1906

### 65.1.30.46.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Identification of the party expressed as a BIC.

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2522

#### Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### 65.1.30.46.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to the party using a proprietary identification scheme.

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.30.46.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

### 65.1.30.47 Role4Choice

*Definition:* Choice of format for a party role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1907
Or}	Proprietary <Prtry>	[1..1]	±		1908

**65.1.30.47.1 Code <Cd>***Presence:* [1..1]*Definition:* Role of the party in the activity expressed as a code.*Datatype:* "InvestmentFundRole2Code" on page 2457

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.

CodeName	Name	Definition
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 65.1.30.47.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role of the party in the activity expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.48 PartyRole2Choice

*Definition:* Choice of formats for the specification of the role.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1908
Or}	Proprietary <Prtry>	[1..1]	±		1910

#### 65.1.30.48.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "[InvestmentFundRole6Code](#)" on page 2458

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the



CodeName	Name	Definition
		fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the

CodeName	Name	Definition
		purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 65.1.30.48.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.49 MoneyLaunderingCheck1Choice

*Definition:* Choice of formats for the specification of the money laundering check.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1911
Or}	Proprietary <Prtry>	[1..1]	±		1911

#### 65.1.30.49.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Money laundering status expressed as a code.

*Datatype:* "MoneyLaunderingCheck1Code" on page 2466

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

#### 65.1.30.49.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Money laundering status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.30.50 PartyTextInformation1

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeclarationDetails <DclrtnDtls>	[0..1]	Text		1912
	PartyContactDetails <PtyCtctDtls>	[0..1]	Text		1912
	RegistrationDetails <RegnDtls>	[0..1]	Text		1912

#### Constraints

- **AdditonalDetailsGuideline**

Unless bilaterally agreed between the Sender and Receiver, DeclarationIDetails, RegistrationDetails and PartyContactDetails must not contain information that can be provided in a structured field.

#### 65.1.30.50.1 DeclarationDetails <DclrtnDtls>

*Presence:* [0..1]

*Definition:* Provides declaration details narrative relative to the party.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.30.50.2 PartyContactDetails <PtyCtctDtls>

*Presence:* [0..1]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* "[Max140Text](#)" on page 2535

#### 65.1.30.50.3 RegistrationDetails <RegnDtls>

*Presence:* [0..1]

*Definition:* Provides information required for the registration.

*Datatype:* "[Max350Text](#)" on page 2536

## 65.1.31 Payment

### 65.1.31.1 PaymentTransaction72

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			1914
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <Acctld>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

### 65.1.31.1.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer or investment account.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1915
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918
Or	ChequeDetails <ChqDtls>	[1..1]			1918
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrlid>	[0..1]	±		1919
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			1920
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrlid>	[0..1]	±		1921
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	1921
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

**65.1.31.1.1.1 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1915
	Debtor <Dbtr>	[0..1]	±		1915
	DebtorAccount <DbtrAcct>	[0..1]	±		1915
	DebtorAgent <DbtrAgt>	[0..1]	±		1916
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1916
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1916
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1916
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1917
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1917
	CreditorAgent <CdtrAgt>	[1..1]	±		1917
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1918
	Creditor <Cdtr>	[0..1]	±		1918
	CreditorAccount <CdtrAcct>	[1..1]	±		1918

**65.1.31.1.1.1.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2536**65.1.31.1.1.1.2 Debtor <Dbtr>***Presence:* [0..1]*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.**Debtor <Dbtr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.1.1.1.3 DebtorAccount <DbtrAcct>***Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.1.1.1.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.1.1.1.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.1.1.1.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.1.1.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]



*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.1.1.1.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.1.1.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.1.1.1.10 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing an account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

**65.1.31.1.1.1.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.1.1.1.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.1.1.1.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.1.1.2 ChequeDetails <ChqDtls>***Presence:* [1..1]*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1919
	PayeeIdentification <Pyeeld>	[1..1]	±		1919
	DraweeIdentification <Drweeld>	[0..1]	±		1919
	DrawerIdentification <Drwrld>	[0..1]	±		1919

#### 65.1.31.1.1.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.1.1.2.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.1.1.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.1.1.2.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.1.1.3 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1920
	PayeeIdentification <Pyeeld>	[1..1]	±		1920
	DraweeIdentification <Drweeld>	[0..1]	±		1920
	DrawerIdentification <Drwrld>	[0..1]	±		1921

##### 65.1.31.1.1.3.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "[Max35Text](#)" on page 2536

##### 65.1.31.1.1.3.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

##### 65.1.31.1.1.3.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.1.1.3.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.1.1.4 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* C1 "AccountElementRule"

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		1921
	Type <Tp>	[0..1]	±		1921

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 65.1.31.1.1.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.1.1.4.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "InvestmentAccountType1Choice" on page 1489 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1489
Or}	Proprietary <Prtry>	[1..1]	±		1489

### 65.1.31.2 PaymentInstrument18

*Definition:* Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1925
	Amount <Amt>	[1..1]	Amount	C2	1925
	PaymentDate <PmtDt>	[0..1]	Date		1925
	CashSettlementDetails <CshSttlmDtls>	[0..1]			1925
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			1928
	Debtor <Dbtr>	[0..1]	±		1930
	DebtorAccount <DbtrAcct>	[0..1]			1931
	Name <Nm>	[0..1]	Text		1931
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1931
	Other <Othr>	[0..1]	±		1931
	DebtorAgent <DbtrAgt>	[0..1]			1932
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1932
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1932
	NameAndAddress <NmAndAdr>	[0..1]	±		1933
	LEI <LEI>	[0..1]	IdentifierSet		1933
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1934
	BranchIdentification <BrnchId>	[0..1]	±		1934
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1934
	Name <Nm>	[0..1]	Text		1934
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1934
	Other <Othr>	[0..1]	±		1935
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1935
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1935
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1936
	NameAndAddress <NmAndAdr>	[0..1]	±		1937
	LEI <LEI>	[0..1]	IdentifierSet		1937
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1937
	BranchIdentification <BrnchId>	[0..1]	±		1937
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1937
	Name <Nm>	[0..1]	Text		1938
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1938

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Other <Othr>	[0..1]	±		1938
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1939
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1939
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1939
	NameAndAddress <NmAndAdr>	[0..1]	±		1940
	LEI <LEI>	[0..1]	IdentifierSet		1940
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1941
	BranchIdentification <Brnchld>	[0..1]	±		1941
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1941
	Name <Nm>	[0..1]	Text		1941
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1941
	Other <Othr>	[0..1]	±		1942
	CreditorAgent <CdtrAgt>	[1..1]			1942
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1942
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1943
	NameAndAddress <NmAndAdr>	[0..1]	±		1943
	LEI <LEI>	[0..1]	IdentifierSet		1944
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1944
	BranchIdentification <Brnchld>	[0..1]	±		1944
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1944
	Name <Nm>	[0..1]	Text		1945
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1945
	Other <Othr>	[0..1]	±		1945
	Creditor <Cdtr>	[0..1]	±		1945
	CreditorAccount <CdtrAcct>	[1..1]			1946
	Name <Nm>	[0..1]	Text		1946
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1946
	Other <Othr>	[0..1]	±		1946
Or}	ChequeDetails <ChqDtls>	[1..1]			1947
	Number <Nb>	[0..1]	Text		1947
	PayeeIdentification <PyeeId>	[0..1]	±		1947



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldidentification <Drweeld>	[0..1]			1948
	Party <Pty>	[1..1]			1948
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <Prtryld>	[1..1]	Text		1950
	LEI <LEI>	[0..1]	IdentifierSet		1950
	DrawerIdentification <Drwrlid>	[0..1]	±		1951

#### 65.1.31.2.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.2.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of the payment.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.31.2.3 PaymentDate <PmtDt>

*Presence:* [0..1]

*Definition:* Date of the payment.

*Datatype:* "ISODate" on page 2521

#### 65.1.31.2.4 CashSettlementDetails <CshSttlmDtls>

*Presence:* [0..1]

*Definition:* Payment process for the transfer of cash from the debtor to the creditor.

**CashSettlementDetails <CshSttlmDtls>** contains one of the following **PaymentInstrument25Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[0..1]			1928
	Debtor <Dbtr>	[0..1]	±		1930
	DebtorAccount <DbtrAcct>	[0..1]			1931
	Name <Nm>	[0..1]	Text		1931
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1931
	Other <Othr>	[0..1]	±		1931
	DebtorAgent <DbtrAgt>	[0..1]			1932
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1932
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1932
	NameAndAddress <NmAndAdr>	[0..1]	±		1933
	LEI <LEI>	[0..1]	IdentifierSet		1933
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1934
	BranchIdentification <BrnchId>	[0..1]	±		1934
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1934
	Name <Nm>	[0..1]	Text		1934
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1934
	Other <Othr>	[0..1]	±		1935
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1935
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1935
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1936
	NameAndAddress <NmAndAdr>	[0..1]	±		1937
	LEI <LEI>	[0..1]	IdentifierSet		1937
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1937
	BranchIdentification <BrnchId>	[0..1]	±		1937
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1937
	Name <Nm>	[0..1]	Text		1938
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1938
	Other <Othr>	[0..1]	±		1938
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1939
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1939

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1939
	NameAndAddress <NmAndAdr>	[0..1]	±		1940
	LEI <LEI>	[0..1]	IdentifierSet		1940
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1941
	BranchIdentification <Brnchld>	[0..1]	±		1941
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1941
	Name <Nm>	[0..1]	Text		1941
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1941
	Other <Othr>	[0..1]	±		1942
	CreditorAgent <CdtrAgt>	[1..1]			1942
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1942
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1943
	NameAndAddress <NmAndAdr>	[0..1]	±		1943
	LEI <LEI>	[0..1]	IdentifierSet		1944
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1944
	BranchIdentification <Brnchld>	[0..1]	±		1944
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1944
	Name <Nm>	[0..1]	Text		1945
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1945
	Other <Othr>	[0..1]	±		1945
	Creditor <Cdtr>	[0..1]	±		1945
	CreditorAccount <CdtrAcct>	[1..1]			1946
	Name <Nm>	[0..1]	Text		1946
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1946
	Other <Othr>	[0..1]	±		1946
Or}	ChequeDetails <ChqDtls>	[1..1]			1947
	Number <Nb>	[0..1]	Text		1947
	PayeeIdentification <PyeeId>	[0..1]	±		1947
	DraweeIdentification <DrweeId>	[0..1]			1948
	Party <Pty>	[1..1]			1948
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BICFI <BICFI/>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1950
	LEI <LEI/>	[0..1]	IdentifierSet		1950
	DrawerIdentification <DrwrId>	[0..1]	±		1951

#### 65.1.31.2.4.1 CreditTransferDetails <CdtTrfDtls>

*Presence:* [0..1]

*Definition:* Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		1930
	DebtorAccount <DbtrAcct>	[0..1]			1931
	Name <Nm>	[0..1]	Text		1931
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1931
	Other <Othr>	[0..1]	±		1931
	DebtorAgent <DbtrAgt>	[0..1]			1932
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1932
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1932
	NameAndAddress <NmAndAdr>	[0..1]	±		1933
	LEI <LEI>	[0..1]	IdentifierSet		1933
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1934
	BranchIdentification <BrnchId>	[0..1]	±		1934
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1934
	Name <Nm>	[0..1]	Text		1934
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1934
	Other <Othr>	[0..1]	±		1935
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1935
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1935
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1936
	NameAndAddress <NmAndAdr>	[0..1]	±		1937
	LEI <LEI>	[0..1]	IdentifierSet		1937
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1937
	BranchIdentification <BrnchId>	[0..1]	±		1937
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1937
	Name <Nm>	[0..1]	Text		1938
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1938
	Other <Othr>	[0..1]	±		1938
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1939
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1939
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1939
	NameAndAddress <NmAndAdr>	[0..1]	±		1940

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		1940
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1941
	BranchIdentification <BrnchId>	[0..1]	±		1941
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1941
	Name <Nm>	[0..1]	Text		1941
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1941
	Other <Othr>	[0..1]	±		1942
	CreditorAgent <CdtrAgt>	[1..1]			1942
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1942
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1943
	NameAndAddress <NmAndAdr>	[0..1]	±		1943
	LEI <LEI>	[0..1]	IdentifierSet		1944
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1944
	BranchIdentification <BrnchId>	[0..1]	±		1944
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1944
	Name <Nm>	[0..1]	Text		1945
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1945
	Other <Othr>	[0..1]	±		1945
	Creditor <Cdtr>	[0..1]	±		1945
	CreditorAccount <CdtrAcct>	[1..1]			1946
	Name <Nm>	[0..1]	Text		1946
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1946
	Other <Othr>	[0..1]	±		1946

#### 65.1.31.2.4.1.1 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.31.2.4.1.2 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1931
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1931
	Other <Othr>	[0..1]	±		1931

##### 65.1.31.2.4.1.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.2.4.1.2.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 65.1.31.2.4.1.2.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.2.4.1.3 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing the account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1932
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1932
	NameAndAddress <NmAndAdr>	[0..1]	±		1933
	LEI <LEI>	[0..1]	IdentifierSet		1933
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1934
	BranchIdentification <BrnchId>	[0..1]	±		1934

##### 65.1.31.2.4.1.3.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

#### 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.

##### 65.1.31.2.4.1.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.



**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.2.4.1.3.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.2.4.1.3.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.31.2.4.1.3.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.2.4.1.3.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.2.4.1.4 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1934
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1934
	Other <Othr>	[0..1]	±		1935

##### 65.1.31.2.4.1.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.2.4.1.4.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.2.4.1.4.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.2.4.1.5 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1935
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1936
	NameAndAddress <NmAndAdr>	[0..1]	±		1937
	LEI <LEI>	[0..1]	IdentifierSet		1937
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1937
	BranchIdentification <BrnchId>	[0..1]	±		1937

#### 65.1.31.2.4.1.5.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

#### 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.

#### 65.1.31.2.4.1.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "[ClearingSystemMemberIdentification4Choice](#)" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

**65.1.31.2.4.1.5.3 NameAndAddress <NmAndAdr>**

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

**65.1.31.2.4.1.5.4 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2529

**65.1.31.2.4.1.5.5 ProprietaryIdentification <PrtryId>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* ["Max35Text"](#) on page 2536

**65.1.31.2.4.1.5.6 BranchIdentification <BrnchId>**

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

**65.1.31.2.4.1.6 IntermediaryAgent1Account <IntrmyAgt1Acct>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1938
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1938
	Other <Othr>	[0..1]	±		1938

#### 65.1.31.2.4.1.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.2.4.1.6.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.2.4.1.6.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

**65.1.31.2.4.1.7 IntermediaryAgent2 <IntrmyAgt2>**

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1939
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1939
	NameAndAddress <NmAndAdr>	[0..1]	±		1940
	LEI <LEI>	[0..1]	IdentifierSet		1940
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1941
	BranchIdentification <BrnchId>	[0..1]	±		1941

**65.1.31.2.4.1.7.1 BICFI <BICFI>**

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

**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.

**65.1.31.2.4.1.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>**

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.2.4.1.7.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.2.4.1.7.4 LEI <LEI>

*Presence:* [0..1]



*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.31.2.4.1.7.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.2.4.1.7.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.2.4.1.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1941
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1941
	Other <Othr>	[0..1]	±		1942

##### 65.1.31.2.4.1.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.2.4.1.8.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.2.4.1.8.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.2.4.1.9 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing the account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1942
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1943
	NameAndAddress <NmAndAdr>	[0..1]	±		1943
	LEI <LEI>	[0..1]	IdentifierSet		1944
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1944
	BranchIdentification <BrnchId>	[0..1]	±		1944

#### 65.1.31.2.4.1.9.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

Impacted by: C5 "BICFI"

Datatype: "BICFIDec2014Identifier" on page 2523

### 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.

#### 65.1.31.2.4.1.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.2.4.1.9.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.2.4.1.9.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2529

#### 65.1.31.2.4.1.9.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.31.2.4.1.9.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.2.4.1.10 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1945
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1945
	Other <Othr>	[0..1]	±		1945

**65.1.31.2.4.1.10.1 Name <Nm>***Presence:* [0..1]*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.*Datatype:* "Max35Text" on page 2536**65.1.31.2.4.1.10.2 IBAN <IBAN>***Presence:* [0..1]*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.*Impacted by:* C16 "IBAN"*Datatype:* "IBAN2007Identifier" on page 2527**Constraints****• IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**65.1.31.2.4.1.10.3 Other <Othr>***Presence:* [0..1]*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

**65.1.31.2.4.1.11 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.31.2.4.1.12 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1946
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1946
	Other <Othr>	[0..1]	±		1946

##### 65.1.31.2.4.1.12.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.2.4.1.12.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 65.1.31.2.4.1.12.3 Other <Othr>

*Presence:* [0..1]

**Definition:** Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.2.4.2 ChequeDetails <ChqDtls>

**Presence:** [1..1]

**Definition:** Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1947
	PayeeIdentification <PyeeId>	[0..1]	±		1947
	DraweeIdentification <DrweeId>	[0..1]			1948
	Party <Pty>	[1..1]			1948
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1950
	LEI <LEI>	[0..1]	IdentifierSet		1950
	DrawerIdentification <DrwrId>	[0..1]	±		1951

##### 65.1.31.2.4.2.1 Number <Nb>

**Presence:** [0..1]

**Definition:** Unique and unambiguous identifier for the cheque as assigned by the financial institution.

**Datatype:** "Max35Text" on page 2536

##### 65.1.31.2.4.2.2 PayeeIdentification <PyeeId>

**Presence:** [0..1]

**Definition:** Party to which the cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.31.2.4.2.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which the cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following **FinancialInstitutionIdentification17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]			1948
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1950
	LEI <LEI>	[0..1]	IdentifierSet		1950

#### 65.1.31.2.4.2.3.1 Party <Pty>

*Presence:* [1..1]

*Definition:* Unique identification of the financial institution.

**Party <Pty>** contains one of the following **FinancialInstitutionIdentification10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1948
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1949
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1949
Or}	ProprietaryIdentification <PrtryId>	[1..1]	Text		1950

#### 65.1.31.2.4.2.3.1.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.



**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.2.4.2.3.1.2 BICFI <BICFI>

*Presence:* [1..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* [C5 "BICFI"](#)

*Datatype:* ["BICFIDec2014Identifier"](#) on page 2523

#### 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.

#### 65.1.31.2.4.2.3.1.3 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [1..1]

*Definition:* Choice of identifier for a clearing system member, as assigned by the clearing system. In some clearing systems, the accounts of the clearing system members are also assigned an identifier.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification2Choice" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1131
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1131
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1132
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1132
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1132
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1132
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1132
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1132
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1132
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1133
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1133
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1133
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1133
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1133
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1133
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1133
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1134
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1134
Or	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1134
Or	IndianFinancialSystemCode <INIFSC>	[1..1]	IdentifierSet		1134
Or	HellenicBankIdentificationCode <GRHEBIC>	[1..1]	IdentifierSet		1134
Or	PolishNationalClearingCode <PLKNR>	[1..1]	IdentifierSet		1134
Or}	OtherClearingCodeIdentification <OthrClrCdId>	[1..1]	Text		1135

#### 65.1.31.2.4.2.3.1.4 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.2.4.2.3.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.31.2.4.2.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues the cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.31.3 PaymentInstrument17

*Definition:* Instrument used to process a payment instruction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	1952
	DividendPercentage <DvddPctg>	[0..1]	Rate		1953
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			1953
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1953
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1953
Or	Cheque <Chq>	[1..1]	Indicator		1954
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1954
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			1954
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1955
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			1955
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1956
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			1956
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1956
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1957
Or	Cheque <Chq>	[1..1]	Indicator		1957
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1958
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			1958
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1958
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1958

### 65.1.31.3.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.31.3.2 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2534

### 65.1.31.3.3 SubscriptionPaymentInstrument <SbcptPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a subscription payment.

**SubscriptionPaymentInstrument <SbcptPmtInstrm>** contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1953
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1953
Or	Cheque <Chq>	[1..1]	Indicator		1954
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1954

### 65.1.31.3.3.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by card.

**PaymentCardDetails <PmtCardDtls>** contains the following elements (see "PaymentCard29" on page 1958 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1959
	Number <Nb>	[1..1]	Text		1959
	HolderName <HldrNm>	[1..1]	Text		1959
	StartDate <StartDt>	[0..1]	YearMonth		1959
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1960
	CardIssuerName <CardIssrNm>	[0..1]	Text		1960
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1960
	SecurityCode <SctyCd>	[0..1]	Text		1960
	SequenceNumber <SeqNb>	[0..1]	Text		1960

### 65.1.31.3.3.2 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by direct debit.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate7](#)" on page 1159 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1159
	Debtor <Dbtr>	[0..1]	±		1159
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1160
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1160
	Creditor <Cdtr>	[0..1]	±		1160
	DebtorAgent <DbtrAgt>	[1..1]	±		1160
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1161
	CreditorAgent <CdtrAgt>	[0..1]	±		1161
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1161
	RegistrationIdentification <RegnId>	[0..1]	Text		1162
	MandatIdentification <MndtId>	[0..1]	Text		1162

#### 65.1.31.3.3.3 Cheque <Chq>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via cheque.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.31.3.3.4 BankersDraft <BkrsDrft>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via draft.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.31.3.4 RedemptionPaymentInstrument <RedPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a redemption payment.

**RedemptionPaymentInstrument <RedPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1955

#### 65.1.31.3.4.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "[Cheque4](#)" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1130

#### 65.1.31.3.4.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "[Cheque4](#)" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		1130

#### 65.1.31.3.5 DividendPaymentInstrument <DvddPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a dividend payment.

**DividendPaymentInstrument <DvddPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1956

#### 65.1.31.3.5.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "Cheque4" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1130

#### 65.1.31.3.5.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "Cheque4" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1130

#### 65.1.31.3.6 SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for a savings plan payment.

**SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>** contains one of the following **PaymentInstrument24Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1956
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1957
Or	Cheque <Chq>	[1..1]	Indicator		1957
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1958

##### 65.1.31.3.6.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by card.



**PaymentCardDetails <PmtCardDtls>** contains the following elements (see "PaymentCard29" on page 1958 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1959
	Number <Nb>	[1..1]	Text		1959
	HolderName <HldrNm>	[1..1]	Text		1959
	StartDate <StartDt>	[0..1]	YearMonth		1959
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1960
	CardIssuerName <CardIssrNm>	[0..1]	Text		1960
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1960
	SecurityCode <SctyCd>	[0..1]	Text		1960
	SequenceNumber <SeqNb>	[0..1]	Text		1960

#### 65.1.31.3.6.2 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by direct debit.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "DirectDebitMandate7" on page 1159 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1159
	Debtor <Dbtr>	[0..1]	±		1159
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1160
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1160
	Creditor <Cdtr>	[0..1]	±		1160
	DebtorAgent <DbtrAgt>	[1..1]	±		1160
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1161
	CreditorAgent <CdtrAgt>	[0..1]	±		1161
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1161
	RegistrationIdentification <RegnId>	[0..1]	Text		1162
	MandateIdentification <MndtId>	[0..1]	Text		1162

#### 65.1.31.3.6.3 Cheque <Chq>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via cheque.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.31.3.6.4 BankersDraft <BkrsDrft>

*Presence:* [1..1]

*Definition:* Indicates whether the payment is done via draft.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.31.3.7 InterestPaymentInstrument <IntrstPmtInstrm>

*Presence:* [0..1]

*Definition:* Instrument that has or represents monetary value and is used to process a payment instruction for an interest payment.

**InterestPaymentInstrument <IntrstPmtInstrm>** contains one of the following **PaymentInstrument19Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1958
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1958

##### 65.1.31.3.7.1 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by cheque.

**ChequeDetails <ChqDtls>** contains the following elements (see "[Cheque4](#)" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1130

##### 65.1.31.3.7.2 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Settlement instructions for a payment by draft.

**BankersDraftDetails <BkrsDrftDtls>** contains the following elements (see "[Cheque4](#)" on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <PyeeId>	[1..1]	±		1130

#### 65.1.31.4 PaymentCard29

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1959
	Number <Nb>	[1..1]	Text		1959
	HolderName <HldrNm>	[1..1]	Text		1959
	StartDate <StartDt>	[0..1]	YearMonth		1959
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1960
	CardIssuerName <CardIssrNm>	[0..1]	Text		1960
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1960
	SecurityCode <SctyCd>	[0..1]	Text		1960
	SequenceNumber <SeqNb>	[0..1]	Text		1960

#### 65.1.31.4.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2422

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

#### 65.1.31.4.2 Number <Nb>

*Presence:* [1..1]

*Definition:* Number embossed on a card that links the card to the account owner and account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.4.3 HolderName <HldrNm>

*Presence:* [1..1]

*Definition:* Party entitled by a card issuer to use a card.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.4.4 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Year and month the card is available for use.

*Datatype:* "ISOYearMonth" on page 2538

**65.1.31.4.5 ExpiryDate <XpryDt>***Presence:* [1..1]*Definition:* Year and month the card expires.*Datatype:* "ISOYearMonth" on page 2538**65.1.31.4.6 CardIssuerName <CardIssrNm>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.*Datatype:* "Max35Text" on page 2536**65.1.31.4.7 CardIssuerIdentification <CardIssrId>***Presence:* [0..1]*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.**CardIssuerIdentification <CardIssrId>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

**65.1.31.4.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2536**65.1.31.4.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2536**65.1.31.5 PaymentInstrument14***Definition:* Payment parties for the transfer of cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1962
	CreditTransferDetails <CdtTrfDtls>	[0..1]			1962
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1976
	BranchIdentification <Brnchld>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <Prtryld>	[0..1]	Text		1979
	BranchIdentification <Brnchld>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

#### 65.1.31.5.1 Reference <Ref>

*Presence:* [0..1]

*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.5.2 CreditTransferDetails <CdtTrfDtls>

*Presence:* [0..1]

*Definition:* Payment instrument between a debtor and a creditor that flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Debtor <Dbtr>	[0..1]	±		1965
	DebtorAccount <DbtrAcct>	[0..1]			1966
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966
	DebtorAgent <DbtrAgt>	[0..1]			1967
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]			1969
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]			1970
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]			1972
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]			1974
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]			1976
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977
	CreditorAgent <CdtrAgt>	[1..1]			1977
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]			1979
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980
	Creditor <Cdtr>	[0..1]	±		1980
	CreditorAccount <CdtrAcct>	[1..1]			1981
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

#### 65.1.31.5.2.1 Debtor <Dbtr>

*Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.31.5.2.2 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1966
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1966
	Other <Othr>	[0..1]	±		1966

##### 65.1.31.5.2.2.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.5.2.2.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 65.1.31.5.2.2.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.5.2.3 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing the account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1967
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1967
	NameAndAddress <NmAndAdr>	[0..1]	±		1968
	LEI <LEI>	[0..1]	IdentifierSet		1968
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1969
	BranchIdentification <BrnchId>	[0..1]	±		1969

##### 65.1.31.5.2.3.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

#### 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.

##### 65.1.31.5.2.3.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.5.2.3.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.5.2.3.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.31.5.2.3.5 ProprietaryIdentification <Prtryld>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.5.2.3.6 BranchIdentification <Brnchld>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <Brnchld>** contains the following elements (see "BranchData2" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.5.2.4 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1969
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1969
	Other <Othr>	[0..1]	±		1970

##### 65.1.31.5.2.4.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.5.2.4.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.5.2.4.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.5.2.5 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1970
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1971
	NameAndAddress <NmAndAdr>	[0..1]	±		1972
	LEI <LEI>	[0..1]	IdentifierSet		1972
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1972
	BranchIdentification <BrnchId>	[0..1]	±		1972

#### 65.1.31.5.2.5.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

#### 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.

#### 65.1.31.5.2.5.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "[ClearingSystemMemberIdentification4Choice](#)" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

**65.1.31.5.2.5.3 NameAndAddress <NmAndAdr>**

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5" on page 2074](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

**65.1.31.5.2.5.4 LEI <LEI>**

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier" on page 2529](#)

**65.1.31.5.2.5.5 ProprietaryIdentification <PrtryId>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.31.5.2.5.6 BranchIdentification <BrnchId>**

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2" on page 1168](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

**65.1.31.5.2.6 IntermediaryAgent1Account <IntrmyAgt1Acct>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.



**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1973
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1973
	Other <Othr>	[0..1]	±		1973

#### 65.1.31.5.2.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.5.2.6.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.5.2.6.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

**65.1.31.5.2.7 IntermediaryAgent2 <IntrmyAgt2>**

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1974
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1974
	NameAndAddress <NmAndAdr>	[0..1]	±		1975
	LEI <LEI>	[0..1]	IdentifierSet		1975
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1976
	BranchIdentification <BrnchId>	[0..1]	±		1976

**65.1.31.5.2.7.1 BICFI <BICFI>**

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

*Impacted by:* C5 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 2523

**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.

**65.1.31.5.2.7.2 ClearingSystemMemberIdentification <ClrSysMmbld>**

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see "ClearingSystemMemberIdentification4Choice" on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.5.2.7.3 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.5.2.7.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* "LEIIdentifier" on page 2529

#### 65.1.31.5.2.7.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.5.2.7.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData2" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.5.2.8 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1976
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1976
	Other <Othr>	[0..1]	±		1977

##### 65.1.31.5.2.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.5.2.8.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and

content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

#### 65.1.31.5.2.8.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericAccountIdentification1](#)" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

#### 65.1.31.5.2.9 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing the account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following **FinancialInstitutionIdentification16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C5	1977
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1978
	NameAndAddress <NmAndAdr>	[0..1]	±		1978
	LEI <LEI>	[0..1]	IdentifierSet		1979
	ProprietaryIdentification <PrtryId>	[0..1]	Text		1979
	BranchIdentification <BrnchId>	[0..1]	±		1979

#### 65.1.31.5.2.9.1 BICFI <BICFI>

*Presence:* [0..1]

*Definition:* Identification of the financial institution expressed as a BIC.

Impacted by: [C5 "BICFI"](#)

Datatype: ["BICFIDec2014Identifier"](#) on page 2523

### 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.

#### 65.1.31.5.2.9.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains one of the following elements (see ["ClearingSystemMemberIdentification4Choice"](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CHIPSUniversalIdentification <USCHU>	[1..1]	IdentifierSet		1135
Or	NewZealandNCCIdentification <NZNCC>	[1..1]	IdentifierSet		1136
Or	IrishNSCIdentification <IENSC>	[1..1]	IdentifierSet		1136
Or	UKDomesticSortCode <GBSC>	[1..1]	IdentifierSet		1136
Or	CHIPSParticipantIdentification <USCH>	[1..1]	IdentifierSet		1136
Or	SwissBCIdentification <CHBC>	[1..1]	IdentifierSet		1136
Or	FedwireRoutingNumberIdentification <USFW>	[1..1]	IdentifierSet		1136
Or	PortugueseNCCIdentification <PTNCC>	[1..1]	IdentifierSet		1136
Or	RussianCentralBankIdentificationCode <RUCB>	[1..1]	IdentifierSet		1137
Or	ItalianDomesticIdentificationCode <ITNCC>	[1..1]	IdentifierSet		1137
Or	AustrianBankleitzahlIdentification <ATBLZ>	[1..1]	IdentifierSet		1137
Or	CanadianPaymentsAssociationRoutingNumberIdentification <CACPA>	[1..1]	IdentifierSet		1137
Or	SwissSICIdentification <CHSIC>	[1..1]	IdentifierSet		1137
Or	GermanBankleitzahlIdentification <DEBLZ>	[1..1]	IdentifierSet		1137
Or	SpanishDomesticInterbankingIdentification <ESNCC>	[1..1]	IdentifierSet		1137
Or	SouthAfricanNCCIdentification <ZANCC>	[1..1]	IdentifierSet		1138
Or	HongKongBankCode <HKNCC>	[1..1]	IdentifierSet		1138
Or	AustralianExtensiveBranchNetworkIdentification <AUBSBx>	[1..1]	IdentifierSet		1138
Or}	AustralianSmallNetworkIdentification <AUBSBs>	[1..1]	IdentifierSet		1138

#### 65.1.31.5.2.9.3 NameAndAddress <NmAndAdr>

Presence: [0..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5"](#) on page 2074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

#### 65.1.31.5.2.9.4 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for the party.

*Datatype:* ["LEIIdentifier"](#) on page 2529

#### 65.1.31.5.2.9.5 ProprietaryIdentification <PrtryId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.31.5.2.9.6 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identification of a specific branch of the financial institution.

**BranchIdentification <BrnchId>** contains the following elements (see ["BranchData2"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1168
	Name <Nm>	[0..1]	Text		1169
	PostalAddress <PstlAdr>	[0..1]	±		1169

#### 65.1.31.5.2.10 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1980
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1980
	Other <Othr>	[0..1]	±		1980

**65.1.31.5.2.10.1 Name <Nm>**

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

**65.1.31.5.2.10.2 IBAN <IBAN>**

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

**Constraints**

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

**65.1.31.5.2.10.3 Other <Othr>**

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

**65.1.31.5.2.11 Creditor <Cdtr>**

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.



**Creditor <Cdtr>** contains the following elements (see "PartyIdentification132" on page 1875 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1875
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		1875
	NameAndAddress <NmAndAdr>	[0..1]	±		1876
	ProprietaryIdentification <PrtryId>	[0..1]	±		1877
	LEI <LEI>	[0..1]	IdentifierSet		1877

#### 65.1.31.5.2.12 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following **AccountIdentificationAndName6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1981
	IBAN <IBAN>	[0..1]	IdentifierSet	C16	1981
	Other <Othr>	[0..1]	±		1981

##### 65.1.31.5.2.12.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name of the account. It provides an additional means of identification, and is designated by the account servicer in agreement with the account owner.

*Datatype:* "Max35Text" on page 2536

##### 65.1.31.5.2.12.2 IBAN <IBAN>

*Presence:* [0..1]

*Definition:* International Bank Account Number (IBAN) - identifier used internationally by financial institutions to uniquely identify the account of the customer. Further specifications of the format and content of the IBAN can be found in the standard ISO 13616 "Banking and related financial services - International Bank Account Number (IBAN)" version 1997-10-01, or later revisions.

*Impacted by:* C16 "IBAN"

*Datatype:* "IBAN2007Identifier" on page 2527

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

##### 65.1.31.5.2.12.3 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of the account, as assigned by the account servicer, using an identification scheme.

**Other <Othr>** contains the following elements (see "GenericAccountIdentification1" on page 989 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		990
	SchemeName <SchmeNm>	[0..1]			990
{Or	Code <Cd>	[1..1]	CodeSet		990
Or}	Proprietary <Prtry>	[1..1]	Text		990
	Issuer <Issr>	[0..1]	Text		990

### 65.1.31.6 PaymentInstrument16

*Definition:* Payment instrument for a type of order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OrderType <OrdTp>	[1..1]			1982
{Or	Code <Cd>	[1..1]	CodeSet		1982
Or}	Proprietary <Prtry>	[1..1]	±		1983
	InstrumentType <InstrmTp>	[1..1]			1983
{Or	Code <Cd>	[1..1]	CodeSet		1983
Or}	Proprietary <Prtry>	[1..1]	±		1984
	AdditionalInformation <AddtlInf>	[0..*]	±		1984

#### 65.1.31.6.1 OrderType <OrdTp>

*Presence:* [1..1]

*Definition:* Type of order to which the payment instrument applies.

**OrderType <OrdTp>** contains one of the following **FundOrderType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1982
Or}	Proprietary <Prtry>	[1..1]	±		1983

##### 65.1.31.6.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a code.

*Datatype:* "FundOrderType10Code" on page 2444

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

#### 65.1.31.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of the investment fund order expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.31.6.2 InstrumentType <InstrmTp>

*Presence:* [1..1]

*Definition:* Payment instrument for the order type.

**InstrumentType <InstrmTp>** contains one of the following **FundPaymentType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1983
Or}	Proprietary <Prtry>	[1..1]	±		1984

##### 65.1.31.6.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of payment instrument expressed as a code.

*Datatype:* "[FundPaymentType1Code](#)" on page 2445

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.

CodeName	Name	Definition
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

#### 65.1.31.6.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of payment instrument expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.31.6.3 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the payment.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[AdditionalInformation15](#)" on page 1288 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.31.7 SourceOfCash1Choice

*Definition:* Choice of formats for the source of the cash.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1984
Or}	Proprietary <Prtry>	[1..1]	±		1985

#### 65.1.31.7.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Source of cash expressed as a code.

*Datatype:* "[SourceOfCash1Code](#)" on page 2497

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.

CodeName	Name	Definition
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

#### 65.1.31.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Source of cash expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.31.8 PaymentTransaction71

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInOrOut <CshInOrOut>	[1..1]			1988
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			1991
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			1993
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1995
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1999
Or	ChequeDetails <ChqDtls>	[1..1]			1999
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <PyeeId>	[1..1]	±		2000
	DraweeIdentification <DrweeId>	[0..1]	±		2000

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DrawerIdentification <Drwrld>	[0..1]	±		2000
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2000
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <Pyeeld>	[1..1]	±		2001
	DraweeIdentification <Drweeld>	[0..1]	±		2001
	DrawerIdentification <Drwrld>	[0..1]	±		2001
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2002
	AccountIdentification <Acctld>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2002
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2003
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007
Or	ChequeDetails <ChqDtls>	[1..1]			2007
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <Pyeeld>	[1..1]	±		2008
	DraweeIdentification <Drweeld>	[0..1]	±		2008
	DrawerIdentification <Drwrld>	[0..1]	±		2008
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2009
	Number <Nb>	[0..1]	Text		2009

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PayeeIdentification <Pyeeld>	[1..1]	±		2009
	DraweeIdentification <Drweeld>	[0..1]	±		2009
	DrawerIdentification <Drwrld>	[0..1]	±		2010
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2010
	AccountIdentification <Acctld>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### 65.1.31.8.1 CashInOrOut <CshInOrOut>

*Presence:* [1..1]

*Definition:* Choice between cash-in or cash-out.



**CashInOrOut <CshInOrOut>** contains one of the following **CashInOrOut7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CashInPaymentInstrument <CshInPmtInstrm>	[1..1]			1991
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			1993
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1995
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1999
Or	ChequeDetails <ChqDtls>	[1..1]			1999
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <PyeeId>	[1..1]	±		2000
	DraweeIdentification <DrweeId>	[0..1]	±		2000
	DrawerIdentification <DrwrId>	[0..1]	±		2000

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2000
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <PyeeId>	[1..1]	±		2001
	DraweeIdentification <DrweeId>	[0..1]	±		2001
	DrawerIdentification <DrwrId>	[0..1]	±		2001
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2002
	AccountIdentification <AcctId>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002
Or}	CashOutPaymentInstrument <CshOutPmtInstrm>	[1..1]			2002
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2003
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007
Or	ChequeDetails <ChqDtls>	[1..1]			2007
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <PyeeId>	[1..1]	±		2008
	DraweeIdentification <DrweeId>	[0..1]	±		2008
	DrawerIdentification <DrwrId>	[0..1]	±		2008
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2009
	Number <Nb>	[0..1]	Text		2009
	PayeeIdentification <PyeeId>	[1..1]	±		2009

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Draweeldentification <Drweeld>	[0..1]	±		2009
	DrawerIdentification <DrwrlId>	[0..1]	±		2010
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2010
	AccountIdentification <AcctId>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### 65.1.31.8.1.1 CashInPaymentInstrument <CshInPmtInstrm>

*Presence:* [1..1]

*Definition:* Payment instrument for the cash-in flow.

**CashInPaymentInstrument <CshInPmtInstrm>** contains one of the following **PaymentInstrument20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			1993
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			1995
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1999
Or	ChequeDetails <ChqDtls>	[1..1]			1999
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <PyeeId>	[1..1]	±		2000
	DraweeIdentification <DrweeId>	[0..1]	±		2000
	DrawerIdentification <DrwrId>	[0..1]	±		2000

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2000
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <PyeeId>	[1..1]	±		2001
	DraweeIdentification <DrweeId>	[0..1]	±		2001
	DrawerIdentification <DrwrId>	[0..1]	±		2001
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2002
	AccountIdentification <AcctId>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002

#### 65.1.31.8.1.1.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

**PaymentCardDetails <PmtCardDtls>** contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1993
	Number <Nb>	[1..1]	Text		1994
	HolderName <HldrNm>	[1..1]	Text		1994
	StartDate <StartDt>	[0..1]	YearMonth		1994
	ExpiryDate <XpryDt>	[1..1]	YearMonth		1994
	CardIssuerName <CardIssrNm>	[0..1]	Text		1994
	CardIssuerIdentification <CardIssrId>	[0..1]	±		1994
	SecurityCode <SctyCd>	[0..1]	Text		1995
	SequenceNumber <SeqNb>	[0..1]	Text		1995

#### 65.1.31.8.1.1.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2422

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

#### 65.1.31.8.1.1.1.2 Number <Nb>

*Presence:* [1..1]

*Definition:* Number embossed on a card that links the card to the account owner and account servicer.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.8.1.1.1.3 HolderName <HldrNm>

*Presence:* [1..1]

*Definition:* Party entitled by a card issuer to use a card.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.8.1.1.1.4 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Year and month the card is available for use.

*Datatype:* ["ISOYearMonth" on page 2538](#)

#### 65.1.31.8.1.1.1.5 ExpiryDate <XpryDt>

*Presence:* [1..1]

*Definition:* Year and month the card expires.

*Datatype:* ["ISOYearMonth" on page 2538](#)

#### 65.1.31.8.1.1.1.6 CardIssuerName <CardIssrNm>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.8.1.1.1.7 CardIssuerIdentification <CardIssrId>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

**CardIssuerIdentification <CardIssrId>** contains the following elements (see ["PartyIdentification113" on page 1895](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.8.1.1.1.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2536**65.1.31.8.1.1.1.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2536**65.1.31.8.1.1.2 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		1995
	Debtor <Dbtr>	[0..1]	±		1995
	DebtorAccount <DbtrAcct>	[0..1]	±		1996
	DebtorAgent <DbtrAgt>	[0..1]	±		1996
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		1996
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		1996
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		1997
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		1997
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		1997
	CreditorAgent <CdtrAgt>	[1..1]	±		1998
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		1998
	Creditor <Cdtr>	[0..1]	±		1998
	CreditorAccount <CdtrAcct>	[1..1]	±		1998

**65.1.31.8.1.1.2.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2536**65.1.31.8.1.1.2.2 Debtor <Dbtr>***Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.1.2.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.1.2.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]



*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.8.1.1.2.10 CreditorAgent <CdtrAgt>***Presence:* [1..1]*Definition:* Financial institution servicing an account for the creditor.**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

**65.1.31.8.1.1.2.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.8.1.1.2.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.8.1.1.2.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

### 65.1.31.8.1.1.3 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "DirectDebitMandate6" on page 1156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1156
	Debtor <Dbtr>	[0..1]	±		1156
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1157
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1157
	Creditor <Cdtr>	[0..1]	±		1157
	DebtorAgent <DbtrAgt>	[1..1]	±		1157
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1158
	CreditorAgent <CdtrAgt>	[0..1]	±		1158
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1158
	RegistrationIdentification <RegnId>	[0..1]	Text		1158
	MandateIdentification <MndtId>	[0..1]	Text		1159

### 65.1.31.8.1.1.4 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		1999
	PayeeIdentification <Pyeeld>	[1..1]	±		2000
	DraweeIdentification <Drweeld>	[0..1]	±		2000
	DrawerIdentification <Drwrld>	[0..1]	±		2000

#### 65.1.31.8.1.1.4.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2536

**65.1.31.8.1.1.4.2 Payeeldidentification <Pyeeld>***Presence:* [1..1]*Definition:* Party to which a cheque is made payable.**Payeeldidentification <Pyeeld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.8.1.1.4.3 Draweeldidentification <Drweeld>***Presence:* [0..1]*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.**Draweeldidentification <Drweeld>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

**65.1.31.8.1.1.4.4 DrawerIdentification <Drwrld>***Presence:* [0..1]*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.8.1.1.5 BankersDraftDetails <BkrsDrftDtls>***Presence:* [1..1]*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2001
	PayeeIdentification <PyeeId>	[1..1]	±		2001
	DraweeIdentification <DrweeId>	[0..1]	±		2001
	DrawerIdentification <DrwrId>	[0..1]	±		2001

#### 65.1.31.8.1.1.5.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.8.1.1.5.2 PayeeIdentification <PyeeId>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.1.5.3 DraweeIdentification <DrweeId>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <DrweeId>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.1.5.4 DrawerIdentification <DrwrId>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <DrwrId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.1.6 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* [C1 "AccountElementRule"](#)

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2002
	Type <Tp>	[0..1]	±		2002

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 65.1.31.8.1.1.6.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.31.8.1.1.6.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see ["InvestmentAccountType1Choice"](#) on page 1489 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1489
Or}	Proprietary <Prtry>	[1..1]	±		1489

#### 65.1.31.8.1.2 CashOutPaymentInstrument <CshOutPmtInstrm>

*Presence:* [1..1]

*Definition:* Payment instrument for the cash-out flow.

**CashOutPaymentInstrument <CshOutPmtInstrm>** contains one of the following **PaymentInstrument21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2003
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007
Or	ChequeDetails <ChqDtls>	[1..1]			2007
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <Pyeeld>	[1..1]	±		2008
	DraweeIdentification <Drweeld>	[0..1]	±		2008
	DrawerIdentification <Drwrlid>	[0..1]	±		2008
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2009
	Number <Nb>	[0..1]	Text		2009
	PayeeIdentification <Pyeeld>	[1..1]	±		2009
	DraweeIdentification <Drweeld>	[0..1]	±		2009
	DrawerIdentification <Drwrlid>	[0..1]	±		2010
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2010
	AccountIdentification <Acctld>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### 65.1.31.8.1.2.1 CreditTransferDetails <CdtTrfDtls>

Presence: [1..1]

**Definition:** Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.

**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2004
	Debtor <Dbtr>	[0..1]	±		2004
	DebtorAccount <DbtrAcct>	[0..1]	±		2004
	DebtorAgent <DbtrAgt>	[0..1]	±		2005
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2005
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2005
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2005
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2006
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2006
	CreditorAgent <CdtrAgt>	[1..1]	±		2006
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2006
	Creditor <Cdtr>	[0..1]	±		2007
	CreditorAccount <CdtrAcct>	[1..1]	±		2007

#### 65.1.31.8.1.2.1.1 Reference <Ref>

**Presence:** [0..1]

**Definition:** Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.

**Datatype:** "Max35Text" on page 2536

#### 65.1.31.8.1.2.1.2 Debtor <Dbtr>

**Presence:** [0..1]

**Definition:** Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.2.1.3 DebtorAccount <DbtrAcct>

**Presence:** [0..1]

**Definition:** Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.



**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.1.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.1.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.1.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.1.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.1.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.1.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.1.10 CreditorAgent <CdtrAgt>

*Presence:* [1..1]

*Definition:* Financial institution servicing an account for the creditor.

**CreditorAgent <CdtrAgt>** contains the following elements (see ["FinancialInstitutionIdentification10"](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.1.11 CreditorAgentAccount <CdtrAgtAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.

**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.1.12 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.

**Creditor <Cdtr>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.2.1.13 CreditorAccount <CdtrAcct>

*Presence:* [1..1]

*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.

**CreditorAccount <CdtrAcct>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.8.1.2.2 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2008
	PayeeIdentification <PyeeId>	[1..1]	±		2008
	DraweeIdentification <DrweeId>	[0..1]	±		2008
	DrawerIdentification <DrwrId>	[0..1]	±		2008

#### 65.1.31.8.1.2.2.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.8.1.2.2.2 PayeeIdentification <PyeeId>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.2.2.3 DraweeIdentification <DrweeId>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <DrweeId>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.2.4 DrawerIdentification <DrwrId>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.2.3 BankersDraftDetails <BkrsDrftDtls>

*Presence:* [1..1]

*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2009
	PayeeIdentification <PyeeId>	[1..1]	±		2009
	DraweeIdentification <DrweeId>	[0..1]	±		2009
	DrawerIdentification <Drwrld>	[0..1]	±		2010

##### 65.1.31.8.1.2.3.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* ["Max35Text"](#) on page 2536

##### 65.1.31.8.1.2.3.2 PayeeIdentification <PyeeId>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <PyeeId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

##### 65.1.31.8.1.2.3.3 DraweeIdentification <DrweeId>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.8.1.2.3.4 DrawerIdentification <Drwrld>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.8.1.2.4 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* C1 "AccountElementRule"

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2010
	Type <Tp>	[0..1]	±		2010

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 65.1.31.8.1.2.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.8.1.2.4.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see "InvestmentAccountType1Choice" on page 1489 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1489
Or}	Proprietary <Prtry>	[1..1]	±		1489

### 65.1.31.9 PaymentTransaction70

*Definition:* Payment processes required to transfer cash from the debtor to the creditor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentInstrument <PmtInstrm>	[1..1]			2013
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <Pyeeld>	[1..1]	±		2022
	DraweeIdentification <Drweeld>	[0..1]	±		2022
	DrawerIdentification <Drwrld>	[0..1]	±		2022



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 65.1.31.9.1 PaymentInstrument <PmtInstrm>

*Presence:* [1..1]

*Definition:* Choice between types of payment instrument, for example, cheque, credit transfer, direct debit, investment account or payment card.

**PaymentInstrument <PmtInstrm>** contains one of the following **PaymentInstrument20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]			2015
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017
Or	CreditTransferDetails <CdtTrfDtls>	[1..1]			2017
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		2021
Or	ChequeDetails <ChqDtls>	[1..1]			2021
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <PyeeId>	[1..1]	±		2022
	DraweeIdentification <DrweeId>	[0..1]	±		2022
	DrawerIdentification <DrwrId>	[0..1]	±		2022

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	BankersDraftDetails <BkrsDrftDtls>	[1..1]			2022
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <PyeeId>	[1..1]	±		2023
	DraweeIdentification <DrweeId>	[0..1]	±		2023
	DrawerIdentification <DrwrId>	[0..1]	±		2023
Or}	CashAccountDetails <CshAcctDtls>	[1..1]		C1	2024
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### 65.1.31.9.1.1 PaymentCardDetails <PmtCardDtls>

*Presence:* [1..1]

*Definition:* Electronic money product that provides the cardholder with a portable and specialised computer device, which typically contains a microprocessor.

**PaymentCardDetails <PmtCardDtls>** contains the following **PaymentCard25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		2015
	Number <Nb>	[1..1]	Text		2016
	HolderName <HldrNm>	[1..1]	Text		2016
	StartDate <StartDt>	[0..1]	YearMonth		2016
	ExpiryDate <XpryDt>	[1..1]	YearMonth		2016
	CardIssuerName <CardIssrNm>	[0..1]	Text		2016
	CardIssuerIdentification <CardIssrId>	[0..1]	±		2016
	SecurityCode <SctyCd>	[0..1]	Text		2017
	SequenceNumber <SeqNb>	[0..1]	Text		2017

##### 65.1.31.9.1.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of card, for example, credit card.

*Datatype:* "CardType1Code" on page 2422

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.

CodeName	Name	Definition
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

#### 65.1.31.9.1.1.2 Number <Nb>

*Presence:* [1..1]

*Definition:* Number embossed on a card that links the card to the account owner and account servicer.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.9.1.1.3 HolderName <HldrNm>

*Presence:* [1..1]

*Definition:* Party entitled by a card issuer to use a card.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.9.1.1.4 StartDate <StartDt>

*Presence:* [0..1]

*Definition:* Year and month the card is available for use.

*Datatype:* ["ISOYearMonth" on page 2538](#)

#### 65.1.31.9.1.1.5 ExpiryDate <XpryDt>

*Presence:* [1..1]

*Definition:* Year and month the card expires.

*Datatype:* ["ISOYearMonth" on page 2538](#)

#### 65.1.31.9.1.1.6 CardIssuerName <CardIssrNm>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.31.9.1.1.7 CardIssuerIdentification <CardIssrId>

*Presence:* [0..1]

*Definition:* Party that issues a payment card, as expressed by a numeric identification of the card issuer according to ISO/IEC 7812-1.

**CardIssuerIdentification <CardIssrId>** contains the following elements (see ["PartyIdentification113" on page 1895](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.9.1.1.8 SecurityCode <SctyCd>***Presence:* [0..1]*Definition:* Security code written on, or in, the card.*Datatype:* "Max35Text" on page 2536**65.1.31.9.1.1.9 SequenceNumber <SeqNb>***Presence:* [0..1]*Definition:* Number distinguishing two or more payment cards with the same account number.*Datatype:* "Max3Text" on page 2536**65.1.31.9.1.2 CreditTransferDetails <CdtTrfDtls>***Presence:* [1..1]*Definition:* Payment instrument between a debtor and a creditor, which flows through one or more financial institutions or systems.**CreditTransferDetails <CdtTrfDtls>** contains the following **CreditTransfer8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[0..1]	Text		2017
	Debtor <Dbtr>	[0..1]	±		2017
	DebtorAccount <DbtrAcct>	[0..1]	±		2018
	DebtorAgent <DbtrAgt>	[0..1]	±		2018
	DebtorAgentAccount <DbtrAgtAcct>	[0..1]	±		2018
	IntermediaryAgent1 <IntrmyAgt1>	[0..1]	±		2018
	IntermediaryAgent1Account <IntrmyAgt1Acct>	[0..1]	±		2019
	IntermediaryAgent2 <IntrmyAgt2>	[0..1]	±		2019
	IntermediaryAgent2Account <IntrmyAgt2Acct>	[0..1]	±		2019
	CreditorAgent <CdtrAgt>	[1..1]	±		2020
	CreditorAgentAccount <CdtrAgtAcct>	[0..1]	±		2020
	Creditor <Cdtr>	[0..1]	±		2020
	CreditorAccount <CdtrAcct>	[1..1]	±		2020

**65.1.31.9.1.2.1 Reference <Ref>***Presence:* [0..1]*Definition:* Information supplied to enable the matching of an entry with the items that the transfer is intended to settle, such as commercial invoices in an accounts' receivable system.*Datatype:* "Max35Text" on page 2536**65.1.31.9.1.2.2 Debtor <Dbtr>***Presence:* [0..1]

*Definition:* Party that owes an amount of money to the (ultimate) creditor. In the context of the payment model, the debtor is also the debit account owner.

**Debtor <Dbtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.9.1.2.3 DebtorAccount <DbtrAcct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the debtor to which a debit entry will be made as a result of the transaction.

**DebtorAccount <DbtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.9.1.2.4 DebtorAgent <DbtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the debtor.

**DebtorAgent <DbtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.9.1.2.5 DebtorAgentAccount <DbtrAgtAcct>

*Presence:* [0..1]

*Definition:* Identifies the account of the debtor's agent.

**DebtorAgentAccount <DbtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.9.1.2.6 IntermediaryAgent1 <IntrmyAgt1>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent1 <IntrmyAgt1>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.9.1.2.7 IntermediaryAgent1Account <IntrmyAgt1Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 1 at its servicing agent in the payment chain.

**IntermediaryAgent1Account <IntrmyAgt1Acct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.31.9.1.2.8 IntermediaryAgent2 <IntrmyAgt2>

*Presence:* [0..1]

*Definition:* Agent between the debtor's agent and the creditor's agent.

**IntermediaryAgent2 <IntrmyAgt2>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.9.1.2.9 IntermediaryAgent2Account <IntrmyAgt2Acct>

*Presence:* [0..1]

*Definition:* Unambiguous identification of the account of the intermediary agent 2 at its servicing agent in the payment chain.

**IntermediaryAgent2Account <IntrmyAgt2Acct>** contains the following elements (see "AccountIdentificationAndName5" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.9.1.2.10 CreditorAgent <CdtrAgt>***Presence:* [1..1]*Definition:* Financial institution servicing an account for the creditor.**CreditorAgent <CdtrAgt>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

**65.1.31.9.1.2.11 CreditorAgentAccount <CdtrAgtAcct>***Presence:* [0..1]*Definition:* Unambiguous identification of the account of the creditor agent at its servicing agent to which a credit entry will be made as a result of the payment transaction.**CreditorAgentAccount <CdtrAgtAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

**65.1.31.9.1.2.12 Creditor <Cdtr>***Presence:* [0..1]*Definition:* Party that receives an amount of money from the debtor. In the context of the payment model, the creditor is also the credit account owner.**Creditor <Cdtr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.9.1.2.13 CreditorAccount <CdtrAcct>***Presence:* [1..1]*Definition:* Unambiguous identification of the account of the creditor to which a credit entry will be posted as a result of the payment transaction.**CreditorAccount <CdtrAcct>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003



### 65.1.31.9.1.3 DirectDebitDetails <DrctDbtDtls>

*Presence:* [1..1]

*Definition:* Instruction, initiated by the creditor, to debit a debtor's account in favour of the creditor. A direct debit can be pre-authorised or not. In most countries, authorisation is in the form of a mandate between the debtor and creditor.

**DirectDebitDetails <DrctDbtDtls>** contains the following elements (see "[DirectDebitMandate6](#)" on page 1156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DebtorAccount <DbtrAcct>	[1..1]	±		1156
	Debtor <Dbtr>	[0..1]	±		1156
	DebtorTaxIdentificationNumber <DbtrTaxIdNb>	[0..1]	Text		1157
	DebtorNationalRegistrationNumber <DbtrNtlRegnNb>	[0..1]	Text		1157
	Creditor <Cdtr>	[0..1]	±		1157
	DebtorAgent <DbtrAgt>	[1..1]	±		1157
	DebtorAgentBranch <DbtrAgtBrnch>	[0..1]	±		1158
	CreditorAgent <CdtrAgt>	[0..1]	±		1158
	CreditorAgentBranch <CdtrAgtBrnch>	[0..1]	±		1158
	RegistrationIdentification <RegnId>	[0..1]	Text		1158
	MandateIdentification <MndtId>	[0..1]	Text		1159

### 65.1.31.9.1.4 ChequeDetails <ChqDtls>

*Presence:* [1..1]

*Definition:* Written order on which instructions are given to an account holder (a financial institution) to pay a stated sum to a named recipient (the payee).

**ChequeDetails <ChqDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2021
	PayeeIdentification <Pyeeld>	[1..1]	±		2022
	DraweeIdentification <Drweeld>	[0..1]	±		2022
	DrawerIdentification <Drwrlld>	[0..1]	±		2022

#### 65.1.31.9.1.4.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.31.9.1.4.2 Payeeldidentification <Pyeeld>***Presence:* [1..1]*Definition:* Party to which a cheque is made payable.**Payeeldidentification <Pyeeld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.9.1.4.3 Draweeldidentification <Drweeld>***Presence:* [0..1]*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.**Draweeldidentification <Drweeld>** contains the following elements (see "[FinancialInstitutionIdentification10](#)" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

**65.1.31.9.1.4.4 DrawerIdentification <Drwrld>***Presence:* [0..1]*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.**DrawerIdentification <Drwrld>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.31.9.1.5 BankersDraftDetails <BkrsDrftDtls>***Presence:* [1..1]*Definition:* Cheque drawn by a bank on itself or its agent. A person who owes money to another buys the draft from a bank for cash and hands it to the creditor.

**BankersDraftDetails <BkrsDrftDtls>** contains the following **Cheque9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Number <Nb>	[0..1]	Text		2023
	PayeeIdentification <Pyeeld>	[1..1]	±		2023
	DraweeIdentification <Drweeld>	[0..1]	±		2023
	DrawerIdentification <Drwrlid>	[0..1]	±		2023

#### 65.1.31.9.1.5.1 Number <Nb>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for a cheque as assigned by the financial institution.

*Datatype:* "Max35Text" on page 2536

#### 65.1.31.9.1.5.2 PayeeIdentification <Pyeeld>

*Presence:* [1..1]

*Definition:* Party to which a cheque is made payable.

**PayeeIdentification <Pyeeld>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.9.1.5.3 DraweeIdentification <Drweeld>

*Presence:* [0..1]

*Definition:* Financial institution on which a cheque is drawn, that is, the financial institution that services the account of the entity that issued the cheque.

**DraweeIdentification <Drweeld>** contains the following elements (see "FinancialInstitutionIdentification10" on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1168
	LEI <LEI>	[0..1]	IdentifierSet		1168

#### 65.1.31.9.1.5.4 DrawerIdentification <Drwrlid>

*Presence:* [0..1]

*Definition:* Account owner that issues a cheque ordering the drawee bank to pay a specific amount, upon demand, to the payee.

**DrawerIdentification <Drwrld>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.31.9.1.6 CashAccountDetails <CshAcctDtls>

*Presence:* [1..1]

*Definition:* Part of the investment account to or from which cash entries are made.

*Impacted by:* [C1 "AccountElementRule"](#)

**CashAccountDetails <CshAcctDtls>** contains the following **InvestmentAccount60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[0..1]	Text		2024
	Type <Tp>	[0..1]	±		2024

#### Constraints

- **AccountElementRule**

Either AccountIdentification or Type must be present. Both may be present.

#### 65.1.31.9.1.6.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.31.9.1.6.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Account type.

**Type <Tp>** contains one of the following elements (see ["InvestmentAccountType1Choice"](#) on page 1489 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1489
Or}	Proprietary <Prtry>	[1..1]	±		1489

## 65.1.32 Person Identification

### 65.1.32.1 ContactIdentification2

*Definition:* Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2025
	GivenName <GvnNm>	[0..1]	Text		2025
	Name <Nm>	[1..1]	Text		2025
	PhoneNumber <PhneNb>	[0..1]	Text		2025
	MobileNumber <MobNb>	[0..1]	Text		2025
	FaxNumber <FaxNb>	[0..1]	Text		2026
	EmailAddress <EmailAdr>	[0..1]	Text		2026

#### 65.1.32.1.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* "NamePrefix1Code" on page 2467

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

#### 65.1.32.1.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of a person.

*Datatype:* "Max35Text" on page 2536

#### 65.1.32.1.3 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.32.1.4 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 2537

#### 65.1.32.1.5 MobileNumber <MobNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* ["PhoneNumber" on page 2537](#)

#### 65.1.32.1.6 FaxNumber <FaxNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* ["PhoneNumber" on page 2537](#)

#### 65.1.32.1.7 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* ["Max256Text" on page 2535](#)

### 65.1.32.2 IndividualPerson30

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2026
	MiddleName <MddINm>	[0..1]	Text		2026
	Name <Nm>	[1..1]	Text		2026
	Gender <Gndr>	[0..1]	CodeSet		2026
	BirthDate <BirthDt>	[0..1]	Date		2027

#### 65.1.32.2.1 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.32.2.2 MiddleName <MddINm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.32.2.3 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* ["Max350Text" on page 2536](#)

#### 65.1.32.2.4 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* "GenderCode" on page 2446

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

#### 65.1.32.2.5 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2521

#### 65.1.32.3 IndividualPerson38

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2029
{Or	Code <Cd>	[1..1]	CodeSet		2029
Or}	Proprietary <Prtry>	[1..1]	±		2030
	GivenName <GvnNm>	[0..1]	Text		2030
	MiddleName <MddlNm>	[0..1]	Text		2030
	Name <Nm>	[1..1]	Text		2030
	NameSuffix <NmSfx>	[0..1]	Text		2030
	Gender <Gndr>	[0..1]	CodeSet		2030
	BirthDate <BirthDt>	[0..1]	Date		2031
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2031
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2031
	CityOfBirth <CityOfBirth>	[0..1]	Text		2031
	Profession <Prfssn>	[0..1]	Text		2031
	ModifiedPostalAddress <ModfdPstlAdr>	[0..*]			2031
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2032
	PostalAddress <PstlAdr>	[1..1]	±	C23	2032
	ModifiedCitizenship <ModfdCtzsh>	[0..3]			2033
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2034
	Citizenship <Ctzsh>	[1..1]			2034
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2034
	MinorIndicator <MnrInd>	[1..1]	Indicator		2034
	EmployingCompany <EmplngCpny>	[0..1]	Text		2035
	BusinessFunction <BizFctn>	[0..1]	Text		2035
	PoliticallyExposedPerson <PltclyXpsdPrsn>	[0..1]		C29	2035
	PoliticallyExposedPersonType <PltclyXpsdPrsnTp>	[1..1]			2035
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2036
	PoliticallyExposedPersonStatus <PltclyXpsdPrsnSts>	[0..1]			2036
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2037
	DeathDate <DthDt>	[0..1]	Date		2037



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CivilStatus <Cv/Sts>	[0..1]			2038
{Or	Code <Cd>	[1..1]	CodeSet		2038
Or}	Proprietary <Prtry>	[1..1]	±		2038
	EducationLevel <EdctnLvl>	[0..1]	Text		2038
	FamilyInformation <FmlyInf>	[0..1]			2039
	NameOfFather <NmOfFthr>	[0..1]	Text		2039
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2039
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2039
	GDPRData <GDPRData>	[0..*]			2039
	ConsentType <CnsntTp>	[1..1]			2039
{Or	Code <Cd>	[1..1]	CodeSet		2040
Or}	Proprietary <Prtry>	[1..1]	±		2040
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2040
	ConsentDate <CnsntDt>	[1..1]	Date		2041

#### 65.1.32.3.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Term used to address the person.

**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2029
Or}	Proprietary <Prtry>	[1..1]	±		2030

##### 65.1.32.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a code.

*Datatype:* "NamePrefix1Code" on page 2467

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

**65.1.32.3.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name prefix expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.32.3.2 GivenName <GvnNm>***Presence:* [0..1]*Definition:* First name of the person.*Datatype:* "[Max35Text](#)" on page 2536**65.1.32.3.3 MiddleName <MddINm>***Presence:* [0..1]*Definition:* Second name of the person.*Datatype:* "[Max35Text](#)" on page 2536**65.1.32.3.4 Name <Nm>***Presence:* [1..1]*Definition:* Name by which the party is known and which is usually used to identify that person.*Datatype:* "[Max350Text](#)" on page 2536**65.1.32.3.5 NameSuffix <NmSfx>***Presence:* [0..1]*Definition:* Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).*Datatype:* "[Max35Text](#)" on page 2536**65.1.32.3.6 Gender <Gndr>***Presence:* [0..1]*Definition:* Gender of the person.*Datatype:* "[Gender1Code](#)" on page 2446

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

**65.1.32.3.7 BirthDate <BirthDt>***Presence:* [0..1]*Definition:* Date on which the person was born.*Datatype:* "ISODate" on page 2521**65.1.32.3.8 CountryOfBirth <CtryOfBirth>***Presence:* [0..1]*Definition:* Country where the person was born.*Impacted by:* C11 "Country"*Datatype:* "CountryCode" on page 2431**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.32.3.9 ProvinceOfBirth <PrvcOfBirth>***Presence:* [0..1]*Definition:* Province where the person was born.*Datatype:* "Max35Text" on page 2536**65.1.32.3.10 CityOfBirth <CityOfBirth>***Presence:* [0..1]*Definition:* City where the person was born.*Datatype:* "Max35Text" on page 2536**65.1.32.3.11 Profession <Prfssn>***Presence:* [0..1]*Definition:* Name of the occupation or job of the person.*Datatype:* "Max35Text" on page 2536**65.1.32.3.12 ModifiedPostalAddress <ModfdPstlAdr>***Presence:* [0..\*]*Definition:* Information related to an address to be inserted, updated or deleted.**ModifiedPostalAddress <ModfdPstlAdr>** contains the following **ModificationScope34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2032
	PostalAddress <PstlAdr>	[1..1]	±	C23	2032

**65.1.32.3.12.1 ModificationScopeIndication <ModScplndctn>***Presence:* [1..1]*Definition:* Specifies the type of modification to be applied on a set of information.*Datatype:* "DataModification1Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

**65.1.32.3.12.2 PostalAddress <PstlAdr>***Presence:* [1..1]*Definition:* Address of the organisation.*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.32.3.13 ModifiedCitizenship <ModfdCtznsh>

*Presence:* [0..3]

*Definition:* Citizenship information to be inserted or deleted.

**ModifiedCitizenship <ModfdCtzns>** contains the following **ModificationScope39** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2034
	Citizenship <Ctzns>	[1..1]			2034
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2034
	MinorIndicator <MnrInd>	[1..1]	Indicator		2034

#### 65.1.32.3.13.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied on a set of information.

*Datatype:* "DataModification2Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.32.3.13.2 Citizenship <Ctzns>

*Presence:* [1..1]

*Definition:* Nationality and legal status (minor or major).

**Citizenship <Ctzns>** contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2034
	MinorIndicator <MnrInd>	[1..1]	Indicator		2034

#### 65.1.32.3.13.2.1 Nationality <Ntlty>

*Presence:* [1..1]

*Definition:* Country where a person was born or is legally accepted as belonging to the country.

*Impacted by:* C35 "ValidationByTable"

*Datatype:* "NationalityCode" on page 2467

##### Constraints

- **ValidationByTable**

Must be a valid nationality.

#### 65.1.32.3.13.2.2 MinorIndicator <MnrInd>

*Presence:* [1..1]

*Definition:* Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.32.3.14 EmployingCompany <EmplngCpny>

*Presence:* [0..1]

*Definition:* Organisation represented by a person, or for which a person works.

*Datatype:* "Max140Text" on page 2535

#### 65.1.32.3.15 BusinessFunction <BizFctn>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 2536

#### 65.1.32.3.16 PoliticallyExposedPerson <PltcllyXpsdPrsn>

*Presence:* [0..1]

*Definition:* Politically exposed person checks.

*Impacted by:* C29 "PoliticallyExposedPersonTypeRule"

**PoliticallyExposedPerson <PltcllyXpsdPrsn>** contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>	[1..1]			2035
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2036
	PoliticallyExposedPersonStatus <PltcllyXpsdPrsnSts>	[0..1]			2036
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2037

#### Constraints

- **PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

#### 65.1.32.3.16.1 PoliticallyExposedPersonType <PltcllyXpsdPrsnTp>

*Presence:* [1..1]

*Definition:* Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

**PoliticallyExposedPersonType <PltclYXpsdPrsnTp>** contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2036

#### 65.1.32.3.16.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a code.

*Datatype:* "PoliticalExposureType2Code" on page 2478

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

#### 65.1.32.3.16.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.3.16.2 PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>

*Presence:* [0..1]

*Definition:* Status of the politically exposed person.

**PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>** contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2036
Or}	Proprietary <Prtry>	[1..1]	±		2037

#### 65.1.32.3.16.2.1 Code <Cd>

*Presence:* [1..1]



*Definition:* Status of the politically exposed person expressed as a code.

*Datatype:* "PoliticallyExposedPersonStatus1Code" on page 2478

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

#### 65.1.32.3.16.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the politically exposed person expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.3.17 DeathDate <DthDt>

*Presence:* [0..1]

*Definition:* Date of death.

*Datatype:* "ISODate" on page 2521

### 65.1.32.3.18 CivilStatus <CvISts>

*Presence:* [0..1]

*Definition:* Civil status of the individual person.

**CivilStatus <CvISts>** contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2038
Or}	Proprietary <Prtry>	[1..1]	±		2038

#### 65.1.32.3.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Civil status expressed as a code.

*Datatype:* "CivilStatus1Code" on page 2425

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

#### 65.1.32.3.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Civil status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.32.3.19 EducationLevel <EdctnLvl>

*Presence:* [0..1]

*Definition:* Highest level of education reached by the individual person.

*Datatype:* "Max35Text" on page 2536

**65.1.32.3.20 FamilyInformation <FmlyInf>***Presence:* [0..1]*Definition:* Information related to the person.**FamilyInformation <FmlyInf>** contains the following **PersonalInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2039
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2039
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2039

**65.1.32.3.20.1 NameOfFather <NmOfFthr>***Presence:* [0..1]*Definition:* Name of the father of the individual person.*Datatype:* "Max35Text" on page 2536**65.1.32.3.20.2 MaidenNameOfMother <MdnNmOfMthr>***Presence:* [0..1]*Definition:* Maiden (unmarried) name of the mother of the individual person.*Datatype:* "Max35Text" on page 2536**65.1.32.3.20.3 NameOfPartner <NmOfPrtnr>***Presence:* [0..1]*Definition:* Name of the partner of the individual person.*Datatype:* "Max35Text" on page 2536**65.1.32.3.21 GDPRData <GDPRData>***Presence:* [0..\*]*Definition:* Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.**GDPRData <GDPRData>** contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2039
{Or	Code <Cd>	[1..1]	CodeSet		2040
Or}	Proprietary <Prtry>	[1..1]	±		2040
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2040
	ConsentDate <CnsntDt>	[1..1]	Date		2041

**65.1.32.3.21.1 ConsentType <CnsntTp>***Presence:* [1..1]

*Definition:* Type of consent.

**ConsentType <CnsntTp>** contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2040
Or}	Proprietary <Prtry>	[1..1]	±		2040

#### 65.1.32.3.21.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Consent type expressed as a code.

*Datatype:* "GDPRDataConsent1Code" on page 2446

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

#### 65.1.32.3.21.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Consent type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification47" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.3.21.2 ConsentIndicator <CnsntInd>

*Presence:* [1..1]

*Definition:* Indicates whether consent has been given.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.32.3.21.3 ConsentDate <CnsntDt>

*Presence:* [1..1]

*Definition:* Date of the consent.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.32.4 IndividualPerson35

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GivenName <GvnNm>	[0..1]	Text		2041
	MiddleName <MddlNm>	[0..1]	Text		2041
	Name <Nm>	[1..1]	Text		2041
	Gender <Gndr>	[0..1]	CodeSet		2041
	BirthDate <BirthDt>	[0..1]	Date		2042

##### 65.1.32.4.1 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* ["Max35Text"](#) on page 2536

##### 65.1.32.4.2 MiddleName <MddlNm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* ["Max35Text"](#) on page 2536

##### 65.1.32.4.3 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* ["Max350Text"](#) on page 2536

##### 65.1.32.4.4 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* ["Gender1Code"](#) on page 2446

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

#### 65.1.32.4.5 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2521

#### 65.1.32.5 IndividualPerson37

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]			2044
{Or	Code <Cd>	[1..1]	CodeSet		2044
Or}	Proprietary <Prtry>	[1..1]	±		2044
	GivenName <GvnNm>	[0..1]	Text		2045
	MiddleName <MddlNm>	[0..1]	Text		2045
	Name <Nm>	[1..1]	Text		2045
	NameSuffix <NmSfx>	[0..1]	Text		2045
	Gender <Gndr>	[0..1]	CodeSet		2045
	BirthDate <BirthDt>	[0..1]	Date		2045
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C11	2046
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		2046
	CityOfBirth <CityOfBirth>	[0..1]	Text		2046
	Profession <Prfssn>	[0..1]	Text		2046
	PostalAddress <PstlAdr>	[1..10]	±	C23	2046
	Citizenship <Ctznsh>	[0..3]			2047
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2048
	MinorIndicator <Mnrlnd>	[1..1]	Indicator		2048
	EmployingCompany <EmplngCpny>	[0..1]	Text		2048
	BusinessFunction <BizFctn>	[0..1]	Text		2048
	PoliticallyExposedPerson <PltclYXpsdPrsn>	[0..1]		C29	2048
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2049
{Or	Code <Cd>	[1..1]	CodeSet		2049
Or}	Proprietary <Prtry>	[1..1]	±		2050
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2050
{Or	Code <Cd>	[1..1]	CodeSet		2050
Or}	Proprietary <Prtry>	[1..1]	±		2051
	DeathDate <DthDt>	[0..1]	Date		2051
	CivilStatus <CvlSts>	[0..1]			2051
{Or	Code <Cd>	[1..1]	CodeSet		2051
Or}	Proprietary <Prtry>	[1..1]	±		2052
	EducationLevel <EdctnLvl>	[0..1]	Text		2052

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FamilyInformation <FmlyInf>	[0..1]			2052
	NameOfFather <NmOfFthr>	[0..1]	Text		2052
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2053
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2053
	GDPRData <GDPRData>	[0..*]			2053
	ConsentType <CnsntTp>	[1..1]			2053
{Or	Code <Cd>	[1..1]	CodeSet		2053
Or}	Proprietary <Prtry>	[1..1]	±		2054
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2054
	ConsentDate <CnsntDt>	[1..1]	Date		2054

#### 65.1.32.5.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Term used to address the person.

**NamePrefix <NmPrfx>** contains one of the following **NamePrefix1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2044
Or}	Proprietary <Prtry>	[1..1]	±		2044

##### 65.1.32.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a code.

*Datatype:* "NamePrefix1Code" on page 2467

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

##### 65.1.32.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name prefix expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.5.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of the person.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.32.5.3 MiddleName <MddINm>

*Presence:* [0..1]

*Definition:* Second name of the person.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.32.5.4 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which the party is known and which is usually used to identify that person.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.32.5.5 NameSuffix <NmSfx>

*Presence:* [0..1]

*Definition:* Additional information about the person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.32.5.6 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Gender of the person.

*Datatype:* "[Gender1Code](#)" on page 2446

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

#### 65.1.32.5.7 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person was born.

*Datatype:* "[ISODate](#)" on page 2521

**65.1.32.5.8 CountryOfBirth <CtryOfBirth>**

*Presence:* [0..1]

*Definition:* Country where the person was born.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.32.5.9 ProvinceOfBirth <PrvcOfBirth>**

*Presence:* [0..1]

*Definition:* Province where the person was born.

*Datatype:* "Max35Text" on page 2536

**65.1.32.5.10 CityOfBirth <CityOfBirth>**

*Presence:* [0..1]

*Definition:* City where the person was born.

*Datatype:* "Max35Text" on page 2536

**65.1.32.5.11 Profession <Prfssn>**

*Presence:* [0..1]

*Definition:* Name of the occupation or job of the person.

*Datatype:* "Max35Text" on page 2536

**65.1.32.5.12 PostalAddress <PstlAdr>**

*Presence:* [1..10]

*Definition:* Address of the person.

*Impacted by:* C23 "MailingIndicatorRule"

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress21" on page 2064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdInBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

#### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.32.5.13 Citizenship <CtznsH>

*Presence:* [0..3]

*Definition:* Nationality and legal status (minor or major).

**Citizenship <Ctznsh>** contains the following **CitizenshipInformation2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Nationality <Ntlty>	[1..1]	CodeSet	C35	2048
	MinorIndicator <MnrInd>	[1..1]	Indicator		2048

#### 65.1.32.5.13.1 Nationality <Ntlty>

*Presence:* [1..1]

*Definition:* Country where a person was born or is legally accepted as belonging to the country.

*Impacted by:* C35 "ValidationByTable"

*Datatype:* "NationalityCode" on page 2467

##### Constraints

- **ValidationByTable**

Must be a valid nationality.

#### 65.1.32.5.13.2 MinorIndicator <MnrInd>

*Presence:* [1..1]

*Definition:* Indicates whether the person is a legal minor. This may depend on the nationality, the domicile country or the transaction in which the person is involved.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.32.5.14 EmployingCompany <EmplngCpny>

*Presence:* [0..1]

*Definition:* Organisation represented by a person, or for which a person works.

*Datatype:* "Max140Text" on page 2535

#### 65.1.32.5.15 BusinessFunction <BizFctn>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 2536

#### 65.1.32.5.16 PoliticallyExposedPerson <PltcllyXpsdPrsn>

*Presence:* [0..1]

*Definition:* Politically exposed person checks.

*Impacted by:* C29 "PoliticallyExposedPersonTypeRule"

**PoliticallyExposedPerson** <PltclYXpsdPrsn> contains the following **PoliticallyExposedPerson1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PoliticallyExposedPersonType <PltclYXpsdPrsnTp>	[1..1]			2049
{Or	Code <Cd>	[1..1]	CodeSet		2049
Or}	Proprietary <Prtry>	[1..1]	±		2050
	PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>	[0..1]			2050
{Or	Code <Cd>	[1..1]	CodeSet		2050
Or}	Proprietary <Prtry>	[1..1]	±		2051

### Constraints

- PoliticallyExposedPersonTypeRule**

If PoliticallyExposedPersonType/Code is 'NoPoliticalExposure' (NPEX) then PoliticallyExposedPersonStatus is not allowed.

On Condition

/PoliticallyExposedPersonType/Code is equal to value 'NoPoliticalExposure'

Following Must be True

/PoliticallyExposedPersonStatus Must be absent

#### 65.1.32.5.16.1 PoliticallyExposedPersonType <PltclYXpsdPrsnTp>

*Presence:* [1..1]

*Definition:* Specifies if due diligence checks on the political exposure of the investor have been carried out. (A politically exposed person is someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.)

**PoliticallyExposedPersonType** <PltclYXpsdPrsnTp> contains one of the following **PoliticalExposureType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2049
Or}	Proprietary <Prtry>	[1..1]	±		2050

##### 65.1.32.5.16.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of political exposure expressed as a code.

*Datatype:* "PoliticalExposureType2Code" on page 2478

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

**65.1.32.5.16.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of political exposure expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.32.5.16.2 PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>***Presence:* [0..1]*Definition:* Status of the politically exposed person.**PoliticallyExposedPersonStatus <PltclYXpsdPrsnSts>** contains one of the following **PoliticallyExposedPersonStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2050
Or}	Proprietary <Prtry>	[1..1]	±		2051

**65.1.32.5.16.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Status of the politically exposed person expressed as a code.*Datatype:* "[PoliticallyExposedPersonStatus1Code](#)" on page 2478

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.

CodeName	Name	Definition
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

#### 65.1.32.5.16.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the politically exposed person expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.5.17 DeathDate <DthDt>

*Presence:* [0..1]

*Definition:* Date of death.

*Datatype:* "[ISODate](#)" on page 2521

#### 65.1.32.5.18 CivilStatus <CvlSts>

*Presence:* [0..1]

*Definition:* Civil status of the individual person.

**CivilStatus <CvlSts>** contains one of the following **CivilStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2051
Or}	Proprietary <Prtry>	[1..1]	±		2052

##### 65.1.32.5.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Civil status expressed as a code.

*Datatype:* "[CivilStatus1Code](#)" on page 2425

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

#### 65.1.32.5.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Civil status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.5.19 EducationLevel <EdctnLvl>

*Presence:* [0..1]

*Definition:* Highest level of education reached by the individual person.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.32.5.20 FamilyInformation <FmlyInf>

*Presence:* [0..1]

*Definition:* Information related to the person.

**FamilyInformation <FmlyInf>** contains the following **PersonalInformation1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameOfFather <NmOfFthr>	[0..1]	Text		2052
	MaidenNameOfMother <MdnNmOfMthr>	[0..1]	Text		2053
	NameOfPartner <NmOfPrtnr>	[0..1]	Text		2053

##### 65.1.32.5.20.1 NameOfFather <NmOfFthr>

*Presence:* [0..1]

*Definition:* Name of the father of the individual person.

*Datatype:* "[Max35Text](#)" on page 2536



**65.1.32.5.20.2 MaidenNameOfMother <MdnNmOfMthr>***Presence:* [0..1]*Definition:* Maiden (unmarried) name of the mother of the individual person.*Datatype:* "Max35Text" on page 2536**65.1.32.5.20.3 NameOfPartner <NmOfPrtnr>***Presence:* [0..1]*Definition:* Name of the partner of the individual person.*Datatype:* "Max35Text" on page 2536**65.1.32.5.21 GDPRData <GDPRData>***Presence:* [0..\*]*Definition:* Information about the individual's consent to use personal data under the General Protection Regulation (GDPR) 2016/679 regulation.**GDPRData <GDPRData>** contains the following **GDPRData1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConsentType <CnsntTp>	[1..1]			2053
{Or	Code <Cd>	[1..1]	CodeSet		2053
Or}	Proprietary <Prtry>	[1..1]	±		2054
	ConsentIndicator <CnsntInd>	[1..1]	Indicator		2054
	ConsentDate <CnsntDt>	[1..1]	Date		2054

**65.1.32.5.21.1 ConsentType <CnsntTp>***Presence:* [1..1]*Definition:* Type of consent.**ConsentType <CnsntTp>** contains one of the following **GDPRDataConsent1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2053
Or}	Proprietary <Prtry>	[1..1]	±		2054

**65.1.32.5.21.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Consent type expressed as a code.*Datatype:* "GDPRDataConsent1Code" on page 2446

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.

CodeName	Name	Definition
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

#### 65.1.32.5.21.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Consent type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.5.21.2 ConsentIndicator <CnsntInd>

*Presence:* [1..1]

*Definition:* Indicates whether consent has been given.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.32.5.21.3 ConsentDate <CnsntDt>

*Presence:* [1..1]

*Definition:* Date of the consent.

*Datatype:* "[ISODate](#)" on page 2521

### 65.1.32.6 IndividualPerson31

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2055
	BirthDate <BirthDt>	[0..1]	Date		2055
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2055
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2056
	OtherIdentification <OthrId>	[0..*]			2056
	Identification <Id>	[1..1]	Text		2056
	IdentificationType <IdTp>	[1..1]			2056
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057
	Issuer <Issr>	[0..1]	Text		2058

### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, BeneficiaryCertificationCompletion, OtherIdentification) must be present.

#### 65.1.32.6.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 2536

#### 65.1.32.6.2 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2521

#### 65.1.32.6.3 CountryAndResidentialStatus <CtryAndResdtlSts>

*Presence:* [0..1]

*Definition:* Country and residential status of the individual, for example, non-permanent resident.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "CountryAndResidentialStatusType2" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1855
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		1855

#### 65.1.32.6.4 BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 65.1.32.6.5 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2056
	IdentificationType <IdTp>	[1..1]			2056
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057
	Issuer <Issr>	[0..1]	Text		2058

##### 65.1.32.6.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "Max35Text" on page 2536

##### 65.1.32.6.5.2 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Specifies the nature of the identifier.

**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2057
Or}	Proprietary <Prtry>	[1..1]	±		2057

**65.1.32.6.5.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of identification expressed as a code.*Datatype:* "PartyIdentificationType7Code" on page 2472

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

**65.1.32.6.5.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.6.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identifier.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.32.7 IndividualPerson32

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2058
	BirthDate <BirthDt>	[0..1]	Date		2058
	CountryAndResidentialStatus <CtryAndResdtlSts>	[0..1]	±		2059
	OtherIdentification <OthrId>	[0..*]			2059
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer <Issr>	[0..1]	Text		2061

#### Constraints

- **PersonElementRule**

One of the elements (Name, BirthDate, CountryAndResidentialStatus, OtherIdentification) must be present.

#### 65.1.32.7.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which the party is known and which is usually used to identify that party.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.32.7.2 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which the person is born.

*Datatype:* "ISODate" on page 2521

### 65.1.32.7.3 CountryAndResidentialStatus <CtryAndResdtlSts>

*Presence:* [0..1]

*Definition:* Country and residential status of the individual, for example, non-permanent resident.

**CountryAndResidentialStatus <CtryAndResdtlSts>** contains the following elements (see "CountryAndResidentialStatusType2" on page 1855 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Country <Ctry>	[1..1]	CodeSet	C11	1855
	ResidentialStatus <ResdtlSts>	[1..1]	CodeSet		1855

### 65.1.32.7.4 OtherIdentification <OthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, or an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**OtherIdentification <OthrId>** contains the following **GenericIdentification164** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2059
	IdentificationType <IdTp>	[1..1]			2059
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061
	Issuer <Issr>	[0..1]	Text		2061

#### 65.1.32.7.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "Max35Text" on page 2536

#### 65.1.32.7.4.2 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Specifies the nature of the identifier.

**IdentificationType <IdTp>** contains one of the following **OtherIdentification3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2060
Or}	Proprietary <Prtry>	[1..1]	±		2061

#### 65.1.32.7.4.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "PartyIdentificationType7Code" on page 2472

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.



CodeName	Name	Definition
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

#### 65.1.32.7.4.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.32.7.4.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identifier.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.32.8 IndividualPerson8

*Definition:* Human entity, as distinguished from a corporate entity (which is sometimes referred to as an 'artificial person').

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2061
	GivenName <GvnNm>	[1..1]	Text		2062
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2062
	NameSuffix <NmSfx>	[0..1]	Text		2062
	Gender <Gndr>	[0..1]	CodeSet		2062
	BirthDate <BirthDt>	[0..1]	Date		2062
	SocialSecurityNumber <ScI/SctyNb>	[0..1]	Text		2062
	IndividualInvestorAddress <IndvInvstrAdr>	[1..1]	±		2063

#### Constraints

- **SocialSecurityNumberGuideline**

The UK Insurance Number must be indicated without spaces.

#### 65.1.32.8.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.32.8.2 GivenName <GvnNm>

*Presence:* [1..1]

*Definition:* First name of a person.

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.32.8.3 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* ["NamePrefix1Code" on page 2467](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

#### 65.1.32.8.4 NameSuffix <NmSfx>

*Presence:* [0..1]

*Definition:* Additional information about a person that follows a person's name, for example, qualification such as Doctor of Philosophy (PhD).

*Datatype:* ["Max35Text" on page 2536](#)

#### 65.1.32.8.5 Gender <Gndr>

*Presence:* [0..1]

*Definition:* Specifies the gender of the person.

*Datatype:* ["GenderCode" on page 2446](#)

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

#### 65.1.32.8.6 BirthDate <BirthDt>

*Presence:* [0..1]

*Definition:* Date on which a person is born.

*Datatype:* ["ISODate" on page 2521](#)

#### 65.1.32.8.7 SocialSecurityNumber <ScISctyNb>

*Presence:* [0..1]

*Definition:* Number assigned by a social security agency.

Datatype: "Max35Text" on page 2536

#### 65.1.32.8.8 IndividualInvestorAddress <IndvInvstrAdr>

Presence: [1..1]

Definition: Postal address of a party.

**IndividualInvestorAddress <IndvInvstrAdr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

### 65.1.33 Postal Address

#### 65.1.33.1 LongPostalAddress1Choice

Definition: Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unstructured <Ustrd>	[1..1]	Text		2063
Or}	Structured <Strd>	[1..1]	±	C14	2063

##### 65.1.33.1.1 Unstructured <Ustrd>

Presence: [1..1]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max140Text" on page 2535

##### 65.1.33.1.2 Structured <Strd>

Presence: [1..1]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in a formal structure.

Impacted by: C14 "StreetNameAndOrPostOfficeBoxRule"

**Structured <Strd>** contains the following elements (see "StructuredLongPostalAddress1" on page 2267 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		2267
	StreetName <StrtNm>	[0..1]	Text		2268
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		2268
	Floor <Flr>	[0..1]	Text		2268
	TownName <TwnNm>	[1..1]	Text		2268
	DistrictName <DstrctNm>	[0..1]	Text		2268
	RegionIdentification <RgnId>	[0..1]	Text		2268
	State <Stat>	[0..1]	Text		2268
	CountyIdentification <CtyId>	[0..1]	Text		2268
	Country <Ctry>	[1..1]	CodeSet	C11	2268
	PostCodeIdentification <PstCdId>	[1..1]	Text		2269
	PostOfficeBox <POB>	[0..1]	Text		2269

#### Constraints

- **StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

### 65.1.33.2 PostalAddress21

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			2065
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066
	MailingIndicator <MIngInd>	[0..1]	Indicator		2066
	RegistrationAddressIndicator <RegnAdrInd>	[0..1]	Indicator		2066
	CareOf <CareOf>	[0..1]	Text		2067
	AddressLine <AdrLine>	[0..5]	Text		2067
	StreetName <StrtNm>	[0..1]	Text		2067
	BuildingNumber <BldgNb>	[0..1]	Text		2067
	BuildingName <BldgNm>	[0..1]	Text		2067
	PostBox <PstBx>	[0..1]	Text		2067
	SideInBuilding <SdlnBldg>	[0..1]	Text		2067
	Floor <Flr>	[0..1]	Text		2067
	SuiteIdentification <SuiteId>	[0..1]	Text		2068
	PostCode <PstCd>	[0..1]	Text		2068
	DistrictName <DstrctNm>	[0..1]	Text		2068
	Village <Vllg>	[0..1]	Text		2068
	TownName <TwnNm>	[0..1]	Text		2068
	State <Stat>	[0..1]	Text		2068
	Country <Ctry>	[1..1]	CodeSet	C11	2068

### Constraints

- **MailingIndicatorRule**

If RegistrationAddressIndicator is "true" or "1" (Yes), then MailingIndicator must be "true" or "1".

#### 65.1.33.2.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Type of address.

**AddressType <AdrTp>** contains one of the following **AddressType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2066
Or}	Proprietary <Prtry>	[1..1]	±		2066

**65.1.33.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Type of address expressed as a code.

*Datatype:* "AddressType2Code" on page 2417

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.

**65.1.33.2.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Type of address expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.33.2.2 MailingIndicator <MIngInd>**

*Presence:* [0..1]

*Definition:* Indicates whether mail should be sent to the address.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.33.2.3 RegistrationAddressIndicator <RegnAdrlnd>**

*Presence:* [0..1]

*Definition:* Indicates whether the address is the official address of the party.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.33.2.4 CareOf <CareOf>**

*Presence:* [0..1]

*Definition:* When the individual resides at another person's address, the name of the other person.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.5 AddressLine <AdrLine>**

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.6 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of the street or thoroughfare.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.7 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of the building on a street.

*Datatype:* "Max16Text" on page 2535

**65.1.33.2.8 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 2536

**65.1.33.2.9 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Post box number of the addressee within the residential or company building.

*Datatype:* "Max10Text" on page 2535

**65.1.33.2.10 SideInBuilding <SdInBldg>**

*Presence:* [0..1]

*Definition:* Side or wing of the building, for example, 'wing A'.

*Datatype:* "Max35Text" on page 2536

**65.1.33.2.11 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within the building.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.12 SuiteIdentification <SuiteId>**

*Presence:* [0..1]

*Definition:* Identification of the suite or apartment.

*Datatype:* "Max10Text" on page 2535

**65.1.33.2.13 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 2535

**65.1.33.2.14 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Name of a district, that is, a part of the town or region.

*Datatype:* "Max35Text" on page 2536

**65.1.33.2.15 Village <Vllg>**

*Presence:* [0..1]

*Definition:* Name of the village.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.16 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of the town or city.

*Datatype:* "Max35Text" on page 2536

**65.1.33.2.17 State <Stat>**

*Presence:* [0..1]

*Definition:* Name of the state, county or country sub-division.

*Datatype:* "Max70Text" on page 2537

**65.1.33.2.18 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Country of the address.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431



**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.33.3 DeliveryParameters3**

*Definition:* Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Address <Adr>	[1..1]	±		2069
	IssuedCertificateNumber <IssdCertNb>	[0..1]	Text		2069

**65.1.33.3.1 Address <Adr>**

*Presence:* [1..1]

*Definition:* Address for physical delivery.

**Address <Adr>** contains the following elements (see ["NameAndAddress4" on page 2075](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

**65.1.33.3.2 IssuedCertificateNumber <IssdCertNb>**

*Presence:* [0..1]

*Definition:* Certificate representing a security that is delivered.

*Datatype:* ["Max35Text" on page 2536](#)

**65.1.33.4 DeliveryParameters4**

*Definition:* Parameters of a physical delivery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrInd>	[1..1]	Indicator		2070
	NameAndAddress <NmAndAdr>	[0..1]	±		2070
	ContactPerson <CtctPrsn>	[0..1]	±		2070

**Constraints**

- **NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

#### 65.1.33.4.1 RegisteredAddressIndicator <RegdAdrInd>

*Presence:* [1..1]

*Definition:* Indicates whether the address for the physical delivery is the registered address.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.33.4.2 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

*Definition:* Name and address to/from which the physical delivery/receipt of the financial instrument must take place.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress4](#)" on page 2075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

#### 65.1.33.4.3 ContactPerson <CtctPrsn>

*Presence:* [0..1]

*Definition:* Contact person and contact information.

**ContactPerson <CtctPrsn>** contains the following elements (see "[ContactIdentification2](#)" on page 2024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		2025
	GivenName <GvnNm>	[0..1]	Text		2025
	Name <Nm>	[1..1]	Text		2025
	PhoneNumber <PhneNb>	[0..1]	Text		2025
	MobileNumber <MobNb>	[0..1]	Text		2025
	FaxNumber <FaxNb>	[0..1]	Text		2026
	EmailAddress <EmailAdr>	[0..1]	Text		2026

#### 65.1.33.5 PostalAddress6

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2071
	Department <Dept>	[0..1]	Text		2071
	SubDepartment <SubDept>	[0..1]	Text		2071
	StreetName <StrtNm>	[0..1]	Text		2071
	BuildingNumber <BldgNb>	[0..1]	Text		2072
	PostCode <PstCd>	[0..1]	Text		2072
	TownName <TwnNm>	[0..1]	Text		2072
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2072
	Country <Ctry>	[0..1]	CodeSet	C11	2072
	AddressLine <AdrLine>	[0..7]	Text		2072

#### 65.1.33.5.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 2417

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.

#### 65.1.33.5.2 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "Max70Text" on page 2537

#### 65.1.33.5.3 SubDepartment <SubDept>

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* "Max70Text" on page 2537

#### 65.1.33.5.4 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 2537

#### **65.1.33.5.5 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 2535

#### **65.1.33.5.6 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 2535

#### **65.1.33.5.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 2536

#### **65.1.33.5.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country such as state, region, county.

*Datatype:* "Max35Text" on page 2536

#### **65.1.33.5.9 Country <Ctry>**

*Presence:* [0..1]

*Definition:* Nation with its own government.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

##### **Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### **65.1.33.5.10 AddressLine <AdrLine>**

*Presence:* [0..7]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.

*Datatype:* "Max70Text" on page 2537

### 65.1.33.6 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		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

#### 65.1.33.6.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 2417

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.

#### 65.1.33.6.2 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 2537

#### 65.1.33.6.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 2537

**65.1.33.6.4 BuildingNumber <BldgNb>***Presence:* [0..1]*Definition:* Number that identifies the position of a building on a street.*Datatype:* "Max16Text" on page 2535**65.1.33.6.5 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 2535**65.1.33.6.6 TownName <TwnNm>***Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 2536**65.1.33.6.7 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 2536**65.1.33.6.8 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C11 "Country"*Datatype:* "CountryCode" on page 2431**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.33.7 NameAndAddress5***Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		2074
	Address <Adr>	[0..1]	±		2075

**65.1.33.7.1 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 2536

#### 65.1.33.7.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

#### 65.1.33.8 NameAndAddress4

*Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		2075
	Address <Adr>	[1..1]	±		2075

##### 65.1.33.8.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 2536

##### 65.1.33.8.2 Address <Adr>

*Presence:* [1..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 2073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		2073
	AddressLine <AdrLine>	[0..5]	Text		2073
	StreetName <StrtNm>	[0..1]	Text		2073
	BuildingNumber <BldgNb>	[0..1]	Text		2074
	PostCode <PstCd>	[0..1]	Text		2074
	TownName <TwnNm>	[0..1]	Text		2074
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		2074
	Country <Ctry>	[1..1]	CodeSet	C11	2074

## 65.1.34 Price

### 65.1.34.1 PriceInformation2

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Value <Val>	[1..1]	±		2076
	ValueType <ValTp>	[0..1]	CodeSet		2077
{Or	Type <Tp>	[1..1]	CodeSet		2077
Or}	ExtendedType <XtnDEDTp>	[1..1]	Text		2078
	SourceOfPrice <SrcOfPric>	[0..1]			2078
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079
	QuotationDate <QtnDt>	[0..1]	±		2079
	Yielded <Yldd>	[0..1]	Indicator		2079

#### Constraints

- **ValueRule**

If Type is not MRKT, then Value may not be expressed with UnknownIndicator.

#### 65.1.34.1.1 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, eg, as a currency and value.



**Value <Val>** contains one of the following elements (see "PriceRateOrAmountOrUnknownChoice" on page 2125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2125
Or	Amount <Amt>	[1..1]	Amount	C3	2125
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2125

#### 65.1.34.1.2 Value Type <ValTp>

*Presence:* [0..1]

*Definition:* Type of value in which the price is expressed.

*Datatype:* "PriceValueType2Code" on page 2480

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.

#### 65.1.34.1.3 Type <Tp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "TypeOfPrice11Code" on page 2517

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or

CodeName	Name	Definition
		offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

#### 65.1.34.1.4 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.1.5 SourceOfPrice <SrcOfPric>

*Presence:* [0..1]

*Definition:* Place from which the price was obtained.

**SourceOfPrice <SrcOfPric>** contains one of the following **PriceSourceFormatChoice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LocalMarketPlace <LclMktPlc>	[1..1]	IdentifierSet		2079
Or	NonLocalMarketPlace <NonLclMktPlc>	[1..1]	±		2079
Or}	PlaceAsDSS <PlcAsDSS>	[1..1]	±		2079

**65.1.34.1.5.1 LocalMarketPlace <LcIMktPlc>**

*Presence:* [1..1]

*Definition:* Source of price quotation is the market, expressed as a Market Identifier Code (MIC).

*Datatype:* "MICIdentifier" on page 2529

**65.1.34.1.5.2 NonLocalMarketPlace <NonLcIMktPlc>**

*Presence:* [1..1]

*Definition:* Source of a price quotation when it is not the local market.

**NonLocalMarketPlace <NonLcIMktPlc>** contains the following elements (see "PriceSource" on page 2124 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2124
	Narrative <Nrrtv>	[0..1]	Text		2125

**65.1.34.1.5.3 PlaceAsDSS <PlcAsDSS>**

*Presence:* [1..1]

*Definition:* Source of a price quotation expressed with a propriety identification scheme.

**PlaceAsDSS <PlcAsDSS>** contains the following elements (see "GenericIdentification5" on page 1363 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1364
	Narrative <Nrrtv>	[0..1]	Text		1364

**65.1.34.1.6 QuotationDate <QtnDt>**

*Presence:* [0..1]

*Definition:* Date on which the price is obtained. With an investment fund, this is as stated in the prospectus.

**QuotationDate <QtnDt>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.34.1.7 Yielded <Ylidd>**

*Presence:* [0..1]

*Definition:* Indicates whether the price is expressed as a yield. The absence of Yielded means it is not applicable.

**Datatype:** One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.34.2 UnitPrice23

**Definition:** Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2080
	Value <Val>	[1..1]	±		2080
	PriceMethod <PricMtd>	[0..1]	CodeSet		2080
	AccruedInterestNAV <AcrdIntrstNAV>	[0..1]	Amount	C3, C12	2081
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2081
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2081
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2082
{Or	Code <Cd>	[1..1]	CodeSet		2082
Or}	Proprietary <Prtry>	[1..1]	±		2082

#### 65.1.34.2.1 Type <Tp>

**Presence:** [1..1]

**Definition:** Type and information about a price.

**Type <Tp>** contains one of the following elements (see "TypeOfPrice46Choice" on page 2096 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2096
Or}	Proprietary <Prtry>	[1..1]	±		2097

#### 65.1.34.2.2 Value <Val>

**Presence:** [1..1]

**Definition:** Value of the price.

**Value <Val>** contains the following elements (see "PriceValue1" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

#### 65.1.34.2.3 PriceMethod <PricMtd>

**Presence:** [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "PriceMethod1Code" on page 2479

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

#### 65.1.34.2.4 AccruedInterestNAV <AcrdIntrstNAV>

*Presence:* [0..1]

*Definition:* Interest that has accumulated between the most recent payment of interest and the sale of the financial instrument.

*Impacted by:* C3 "ActiveOrHistoricCurrency", C12 "CurrencyAmount"

*Datatype:* "ActiveOrHistoricCurrencyAndAmount" on page 2411

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

#### 65.1.34.2.5 NumberOfDaysAccrued <NbOfDaysAcrd>

*Presence:* [0..1]

*Definition:* Number of days used for calculating the accrued interest amount.

*Datatype:* "Number" on page 2533

#### 65.1.34.2.6 TaxableIncomePerShare <TaxblIncmPerShr>

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.34.2.7 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>**

*Presence:* [0..1]

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

**TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>** contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2082
Or}	Proprietary <Prtry>	[1..1]	±		2082

**65.1.34.2.7.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Taxable income per share (TIS) calculated expressed as a code.

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2499

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

**65.1.34.2.7.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Taxable income per share calculated (TIS) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.34.3 ValuationDealingProcessingCharacteristics3

*Definition:* Valuation dealing processing characteristics linked to the instrument, that is, not to the market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2083
	ValuationFrequencyDescription <ValtnFrqcyDesc>	[0..1]	Text		2083
	ValuationTime <ValtnTm>	[0..1]	Time		2084
	DecimalisationUnits <DcmlstnUnits>	[0..1]	Quantity		2084
	DecimalisationPrice <DcmlstnPric>	[0..1]	Quantity		2084
	DualFundIndicator <DualFndInd>	[0..1]	Indicator		2084
	PriceMethod <PricMtd>	[0..1]	CodeSet		2084
	PriceCurrency <PricCcy>	[0..*]	CodeSet	C2	2084
	AdditionalInformation <AddtlInf>	[0..*]	±		2085

#### 65.1.34.3.1 ValuationFrequency <ValtnFrqcy>

*Presence:* [0..1]

*Definition:* Frequency of the valuation.

*Datatype:* "EventFrequency5Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

#### 65.1.34.3.2 ValuationFrequencyDescription <ValtnFrqcyDesc>

*Presence:* [0..1]

*Definition:* Further details regarding the dealing frequency, for example, Tuesday (for weekly dealing) or last business day of the month.

*Datatype:* "Max350Text" on page 2536

#### **65.1.34.3.3 ValuationTime <ValtnTm>**

*Presence:* [0..1]

*Definition:* Valuation time of the fund.

*Datatype:* "ISOTime" on page 2538

#### **65.1.34.3.4 DecimalisationUnits <DcmlstnUnits>**

*Presence:* [0..1]

*Definition:* Number of decimal places to which quantities of units/shares are rounded.

*Datatype:* "Number" on page 2533

#### **65.1.34.3.5 DecimalisationPrice <DcmlstnPric>**

*Presence:* [0..1]

*Definition:* Number of decimal places to which the price is rounded.

*Datatype:* "Number" on page 2533

#### **65.1.34.3.6 DualFundIndicator <DualFndInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the fund has two prices.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### **65.1.34.3.7 PriceMethod <PricMtd>**

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "PriceMethod1Code" on page 2479

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

#### **65.1.34.3.8 PriceCurrency <PricCcy>**

*Presence:* [0..\*]

*Definition:* Currencies in which the prices for the investment fund class are published by the fund management company.

*Impacted by:* C2 "ActiveCurrency"



*Datatype:* ["ActiveCurrencyCode" on page 2417](#)

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.3.9 AdditionalInformation <AddtlInf>

*Presence:* [0..\*]

*Definition:* Additional information about the valuation dealing characteristics.

**AdditionalInformation <AddtlInf>** contains the following elements (see ["AdditionalInformation15" on page 1288](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationType <InfTp>	[1..1]	±		1288
	InformationValue <InfVal>	[1..1]	Text		1288

#### 65.1.34.4 PriceReport3

*Definition:* Information about a price report.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceValuationDetails <PricValtnDtls>	[1..*]		C19	2086
	Identification <Id>	[0..1]	Text		2087
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2087
	NAVDateTime <NAVDTm>	[1..1]	±		2088
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2088
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2089
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2089
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2089
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2090
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2090
	ValuationType <ValtnTp>	[1..1]	CodeSet		2090
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2090
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2091
	SuspendedIndicator <Sspdlnd>	[1..1]	Indicator		2091
	PriceDetails <PricDtls>	[0..*]	±	C8	2091
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2093
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2095

#### 65.1.34.4.1 PriceValuationDetails <PricValtnDtls>

*Presence:* [1..\*]

*Definition:* Information related to the price valuation of a financial instrument.

*Impacted by:* C19 "PriceDetailsRule"

**PriceValuationDetails <PricValtnDtls>** contains the following **PriceValuation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		2087
	ValuationDateTime <ValtnDtTm>	[0..1]	±		2087
	NAVDateTime <NAVDtTm>	[1..1]	±		2088
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C17	2088
	FundManagementCompany <FndMgmtCpny>	[0..1]	±		2089
	TotalNAV <TtlNAV>	[0..*]	Amount	C3, C12	2089
	TotalUnitsNumber <TtlUnitsNb>	[0..1]	±		2089
	NextValuationDateTime <NxtValtnDtTm>	[0..1]	±		2090
	PreviousValuationDateTime <PrvsValtnDtTm>	[0..1]	±		2090
	ValuationType <ValtnTp>	[1..1]	CodeSet		2090
	ValuationFrequency <ValtnFrqcy>	[0..1]	CodeSet		2090
	OfficialValuationIndicator <OffclValtnInd>	[1..1]	Indicator		2091
	SuspendedIndicator <SspdInd>	[1..1]	Indicator		2091
	PriceDetails <PricDtls>	[0..*]	±	C8	2091
	ValuationStatistics <ValtnSttstcs>	[0..*]	±	C13, C14, C15	2093
	PerformanceDetails <PrfrmncDtls>	[0..1]	±	C1	2095

#### Constraints

- **PriceDetailsRule**

If SuspendedIndicator is "true" or "1" (Yes), then PriceDetails is optional.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "false" or "0" (No), then PriceDetails must be present at least once.

If SuspendedIndicator is "false" or "0" (No), and if FinancialInstrumentDetails /DualFundIndicator is "true" or "1" (Yes), then PriceDetails must be present two or more times and PriceDetails/Type must be present with the values "BIDE" and "OFFR".

##### 65.1.34.4.1.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique technical identifier for an instance of a price valuation within a price report, as assigned by the issuer of the report.

*Datatype:* "Max35Text" on page 2536

##### 65.1.34.4.1.2 ValuationDateTime <ValtnDtTm>

*Presence:* [0..1]

*Definition:* Date and time of the price valuation for the investment fund/fund class.

**ValuationDateTime <ValtnDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.34.4.1.3 NAVDateTime <NAVDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which a price is applied, according to the terms stated in the prospectus. The NAV date is also known as the trade date. The NAV date becomes the trade date in an order.

**NAVDateTime <NAVDtTm>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

#### 65.1.34.4.1.4 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Investment fund class for which the net asset value is calculated.

*Impacted by:* [C17 "FinancialInstrumentIdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "[FinancialInstrument8](#)" on page 1291 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..10]	±		1292
	Name <Nm>	[0..1]	Text		1292
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1292
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C3	1293
	ClassType <ClsTp>	[0..1]	Text		1293
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1293
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1293
	DualFundIndicator <DualFndInd>	[1..1]	Indicator		1294

**Constraints**

- **FinancialInstrumentIdentificationGuideline**

It is recommended that ISIN be used in Identification\SecurityIdentification3Choice.

**65.1.34.4.1.5 FundManagementCompany <FndMgmtCpny>**

*Presence:* [0..1]

*Definition:* Issuer of the fund.

**FundManagementCompany <FndMgmtCpny>** contains one of the following elements (see "[PartyIdentification2Choice](#)" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1769
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1769
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1769

**65.1.34.4.1.6 TotalNAV <TtINAV>**

*Presence:* [0..\*]

*Definition:* Value of all the holdings, less the fund's liabilities, attributable to a specific investment fund class.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#), [C12 "CurrencyAmount"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAndAmount"](#) on page 2411

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.1.34.4.1.7 TotalUnitsNumber <TtUnitsNb>**

*Presence:* [0..1]

*Definition:* Total number of investment fund class units that have been issued.

**TotalUnitsNumber <TtUnitsNb>** contains the following elements (see "[FinancialInstrumentQuantity1](#)" on page 2140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141

**65.1.34.4.1.8 NextValuationDateTime <NxtValtnDtTm>***Presence:* [0..1]*Definition:* Date and time of the next price valuation for the investment fund/fund class.**NextValuationDateTime <NxtValtnDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.34.4.1.9 PreviousValuationDateTime <PrvsValtnDtTm>***Presence:* [0..1]*Definition:* Date and time of the previous price valuation for the investment fund/fund class.**PreviousValuationDateTime <PrvsValtnDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1148
Or}	DateTime <DtTm>	[1..1]	DateTime		1148

**65.1.34.4.1.10 ValuationType <ValtnTp>***Presence:* [1..1]*Definition:* Specifies how the valuation is done, based on the schedule stated in the prospectus.*Datatype:* "ValuationTiming1Code" on page 2521

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

**65.1.34.4.1.11 ValuationFrequency <ValtnFrqcy>***Presence:* [0..1]*Definition:* Frequency of the valuation.*Datatype:* "EventFrequency1Code" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.

CodeName	Name	Definition
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

#### 65.1.34.4.1.12 OfficialValuationIndicator <OffclValtnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation is an official valuation.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.34.4.1.13 SuspendedIndicator <SspdInd>

*Presence:* [1..1]

*Definition:* Indicates whether the valuation of the investment fund class is suspended.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.34.4.1.14 PriceDetails <PricDtls>

*Presence:* [0..\*]

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

*Impacted by:* [C8 "CalculationBasisRule"](#)

**PriceDetails <PricDtls>** contains the following elements (see "UnitPrice15" on page 2106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2108
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2110
	PriceMethod <PricMtd>	[0..1]	CodeSet		2110
	ValueInInvestmentCurrency <ValInInvstmtCcy>	[1..*]	±		2110
	ValueInAlternativeCurrency <ValInAltrntvCcy>	[0..*]	±		2110
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2110
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2111
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2111
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2111
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2111
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2111
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2112
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2112
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2112
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2112
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2113
	ChargeDetails <ChrgDtls>	[0..*]			2113
{Or	Type <Tp>	[1..1]	CodeSet		2113
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2114
{Or	Amount <Amt>	[1..1]	Amount	C2	2114
Or}	Rate <Rate>	[1..1]	Rate		2115
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2115
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2115
	TaxLiabilityDetails <TaxLblyDtls>	[0..*]		C4	2115
{Or	Type <Tp>	[1..1]	CodeSet		2116
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2117
	Amount <Amt>	[0..7]	Amount	C3	2117
	Rate <Rate>	[0..1]	Rate		2117
	Country <Ctry>	[1..1]	CodeSet	C11	2117
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2118



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2118
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2118
	PercentageOfDebtClaim <PctgOfDebtCln>	[0..1]	Rate		2119
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2119
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2119
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2119
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2120
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2120
{Or	Type <Tp>	[1..1]	CodeSet		2120
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2121
	Amount <Amt>	[0..7]	Amount	C3	2121
	Rate <Rate>	[0..1]	Rate		2122
	Country <Ctry>	[1..1]	CodeSet	C11	2122
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2122
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2122
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2123
	PercentageOfDebtClaim <PctgOfDebtCln>	[0..1]	Rate		2123
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2123
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2123
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2124
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2124

### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

#### 65.1.34.4.1.15 ValuationStatistics <ValtnSttstcs>

*Presence:* [0..\*]

*Definition:* Information related to the price variations of an investment fund class.

*Impacted by:* C13 "CurrencyPredefinedPeriodsRule", C14 "CurrencyPriceChangeRule", C15 "CurrencyUserDefinedPeriodsRule"

**ValuationStatistics <ValnSttstcs>** contains the following elements (see "ValuationStatistics3" on page 1737 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Currency <Ccy>	[1..1]	CodeSet	C3	1739
	PriceTypeChangeBasis <PricTpChngBsis>	[1..1]		C18	1739
	Structured <Strd>	[1..1]	CodeSet		1740
	AdditionalInformation <AddtlInf>	[0..1]	Text		1741
	PriceChange <PricChng>	[1..1]		C5, C6	1741
	Amount <Amt>	[0..1]	Amount	C3	1742
	AmountSign <AmtSgn>	[0..1]	Indicator		1742
	Rate <Rate>	[0..1]	Rate		1742
	Yield <Yld>	[0..1]	Rate		1742
	ByPredefinedTimePeriods <ByPrdfndTmPrds>	[0..1]			1742
	HighestPriceValue12Months <HghstPricVal12Mnths>	[0..1]			1743
	Amount <Amt>	[1..1]	Amount	C3	1743
	LowestPriceValue12Months <LwstPricVal12Mnths>	[0..1]			1744
	Amount <Amt>	[1..1]	Amount	C3	1744
	OneYearPriceChange <OneYrPricChng>	[0..1]		C5, C6	1744
	Amount <Amt>	[0..1]	Amount	C3	1745
	AmountSign <AmtSgn>	[0..1]	Indicator		1745
	Rate <Rate>	[0..1]	Rate		1745
	ThreeYearPriceChange <ThreeYrPricChng>	[0..1]		C5, C6	1745
	Amount <Amt>	[0..1]	Amount	C3	1746
	AmountSign <AmtSgn>	[0..1]	Indicator		1746
	Rate <Rate>	[0..1]	Rate		1746
	FiveYearPriceChange <FiveYrPricChng>	[0..1]		C5, C6	1746
	Amount <Amt>	[0..1]	Amount	C3	1747
	AmountSign <AmtSgn>	[0..1]	Indicator		1747
	Rate <Rate>	[0..1]	Rate		1747
	ByUserDefinedTimePeriod <ByUsrDfndTmPrd>	[0..*]			1748
	Period <Prd>	[1..1]	±		1748
	HighestPriceValue <HghstPricVal>	[0..1]			1748
	Amount <Amt>	[1..1]	Amount	C3	1748

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LowestPriceValue <LwstPricVal>	[0..1]			1749
	Amount <Amt>	[1..1]	Amount	C3	1749
	PriceChange <PricChng>	[0..1]		C5, C6	1749
	Amount <Amt>	[0..1]	Amount	C3	1750
	AmountSign <AmtSgn>	[0..1]	Indicator		1750
	Rate <Rate>	[0..1]	Rate		1750
	Yield <Yld>	[0..1]	Rate		1750

### Constraints

- **CurrencyPredefinedPeriodsRule**

Currency in ByPredefinedTimePeriods/HighestPriceValue12Months/Amount, ByPredefinedTimePeriods/LowestPriceValue12Months/Amount, ByPredefinedTimePeriods/OneYearPriceChange/Amount, ByPredefinedTimePeriods/ThreeYearPriceChange/Amount and ByPredefinedTimePeriods/FiveYearPriceChange/Amount must be the same as Currency.

- **CurrencyPriceChangeRule**

Currency in PriceChange/Amount must be the same as Currency.

- **CurrencyUserDefinedPeriodsRule**

Currency in ByUserDefinedTimePeriod/HighestPriceValue/Amount, ByUserDefinedTimePeriod/LowestPriceValue/Amount and ByUserDefinedTimePeriod/PriceChange/Amount must be the same as Currency.

#### 65.1.34.4.1.16 PerformanceDetails <PrfrmncDtls>

*Presence:* [0..1]

*Definition:* Factors that give indications about the performance of a fund.

*Impacted by:* C1 "AccumulationPeriodRule"

**PerformanceDetails <PrfrmncDtls>** contains the following elements (see "PerformanceFactors1" on page 1683 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionFactor <CorpActnFctr>	[0..1]	Quantity		1683
	CumulativeCorporateActionFactor <CmltvCorpActnFctr>	[0..1]	Quantity		1683
	AccumulationPeriod <AcmltnPrd>	[0..1]	±		1684
	NormalPerformance <NrmlPrfrmnc>	[0..1]	Quantity		1684

**Constraints**

- **AccumulationPeriodRule**

AccumulationPeriod must be present if CumulativeCorporateActionFactor is present.

**65.1.34.5 TypeOfPrice46Choice**

*Definition:* Choice of formats for a type of price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2096
Or}	Proprietary <Prtry>	[1..1]	±		2097

**65.1.34.5.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Type expressed as a code.

*Datatype:* "TypeOfPrice10Code" on page 2516

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance

CodeName	Name	Definition
		in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 65.1.34.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.34.6 ProfitAndLoss2Choice

*Definition:* Choice between profit and loss.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Profit <Prft>	[1..1]	Amount	C2, C10	2097
Or}	Loss <Loss>	[1..1]	Amount	C2, C10	2098

##### 65.1.34.6.1 Profit <Prft>

*Presence:* [1..1]

*Definition:* Value of the positive amount.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.34.6.2 Loss <Loss>**

*Presence:* [1..1]

*Definition:* Value of the negative amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.34.7 UnitPrice22**

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		2099
	Value <Val>	[1..1]	±		2099
	PriceMethod <PricMtd>	[0..1]	CodeSet		2099
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2100
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C2	2100
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]			2100
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101
	PriceDifferenceReason <PricDiffRsn>	[0..1]	Text		2101

#### 65.1.34.7.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type and information about a price.

**Type <Tp>** contains one of the following elements (see "[TypeOfPrice46Choice](#)" on page 2096 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2096
Or}	Proprietary <Prtry>	[1..1]	±		2097

#### 65.1.34.7.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, for example, as a currency and value.

**Value <Val>** contains the following elements (see "[PriceValue1](#)" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

#### 65.1.34.7.3 PriceMethod <PricMtd>

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "[PriceMethod1Code](#)" on page 2479

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.

CodeName	Name	Definition
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

#### 65.1.34.7.4 NumberOfDaysAccrued <NbOfDaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days used for calculating the accrued interest amount.

*Datatype:* "Number" on page 2533

#### 65.1.34.7.5 TaxableIncomePerShare <TaxblIncmPerShr>

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.7.6 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

*Presence:* [0..1]

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

**TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>** contains one of the following **TaxableIncomePerShareCalculated2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2100
Or}	Proprietary <Prtry>	[1..1]	±		2101

##### 65.1.34.7.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Taxable income per share (TIS) calculated expressed as a code.

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2499

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.



CodeName	Name	Definition
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

#### 65.1.34.7.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Taxable income per share calculated (TIS) expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.34.7.7 PriceDifferenceReason <PricDiffRsn>

*Presence:* [0..1]

*Definition:* Reason why the price is different from the current market price.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.34.8 UnitPrice20

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2101
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103
	Value <Val>	[1..1]	±		2103
	PriceMethod <PricMtd>	[0..1]	CodeSet		2103

#### 65.1.34.8.1 PriceType <PricTp>

*Presence:* [1..1]

*Definition:* Type of price.

**PriceType <PricTp>** contains one of the following **UnitPriceType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2102
Or}	Proprietary <Prtry>	[1..1]	±		2103

#### 65.1.34.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of price expressed as a code.

*Datatype:* "TypeOfPrice10Code" on page 2516

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.

CodeName	Name	Definition
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 65.1.34.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of price expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.34.8.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, that is, as a currency and value.

**Value <Val>** contains the following elements (see "[PriceValue1](#)" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

#### 65.1.34.8.3 PriceMethod <PricMtd>

*Presence:* [0..1]

*Definition:* Type of pricing calculation method.

*Datatype:* "PriceMethod1Code" on page 2479

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

### 65.1.34.9 UnitPrice19

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceType <PricTp>	[1..1]			2104
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105
	Value <Val>	[1..1]	±		2105

#### 65.1.34.9.1 PriceType <PricTp>

*Presence:* [1..1]

*Definition:* Type of price.

**PriceType <PricTp>** contains one of the following **UnitPriceType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2104
Or}	Proprietary <Prtry>	[1..1]	±		2105

##### 65.1.34.9.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of price expressed as a code.

*Datatype:* "TypeOfPrice10Code" on page 2516

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the

CodeName	Name	Definition
		lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

#### 65.1.34.9.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of price expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.34.9.2 Value <Val>

*Presence:* [1..1]

*Definition:* Value of the price, that is, as a currency and value.

**Value <Val>** contains the following elements (see "[PriceValue1](#)" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

**65.1.34.10 UnitPrice15**

*Definition:* Amount of money for which goods or services are offered, sold, or bought.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2108
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2110
	PriceMethod <PricMtd>	[0..1]	CodeSet		2110
	ValueInInvestmentCurrency <VallnInvstmtCcy>	[1..*]	±		2110
	ValueInAlternativeCurrency <VallnAltrntvCcy>	[0..*]	±		2110
	ForExecutionIndicator <ForExctnInd>	[1..1]	Indicator		2110
	CumDividendIndicator <CumDvddInd>	[1..1]	Indicator		2111
	CalculationBasis <ClctnBsis>	[0..1]	Rate		2111
	EstimatedPriceIndicator <EstmtdPricInd>	[1..1]	Indicator		2111
	NumberOfDaysAccrued <NbOfDaysAcrd>	[0..1]	Quantity		2111
	TaxableIncomePerShare <TaxblIncmPerShr>	[0..1]	Amount	C3	2111
{Or	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	CodeSet		2112
Or}	ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>	[0..1]	Text		2112
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2112
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2112
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2113
	ChargeDetails <ChrgDtls>	[0..*]			2113
{Or	Type <Tp>	[1..1]	CodeSet		2113
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2114
{Or	Amount <Amt>	[1..1]	Amount	C2	2114
Or}	Rate <Rate>	[1..1]	Rate		2115
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2115
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2115
	TaxLiabilityDetails <TaxLbiltyDtls>	[0..*]		C4	2115
{Or	Type <Tp>	[1..1]	CodeSet		2116
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2117
	Amount <Amt>	[0..7]	Amount	C3	2117
	Rate <Rate>	[0..1]	Rate		2117
	Country <Ctry>	[1..1]	CodeSet	C11	2117
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2118
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2118

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2118
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2119
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2119
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2119
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2119
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2120
	TaxRefundDetails <TaxRfndDtls>	[0..*]		C4	2120
{Or	Type <Tp>	[1..1]	CodeSet		2120
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2121
	Amount <Amt>	[0..7]	Amount	C3	2121
	Rate <Rate>	[0..1]	Rate		2122
	Country <Ctry>	[1..1]	CodeSet	C11	2122
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2122
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2122
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2123
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2123
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2123
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2123
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2124
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2124

### Constraints

- **CalculationBasisRule**

If Type is not NonAdjustedUnpublished, then CalculationBasis is not allowed. If Type is NonAdjustedUnpublished, then CalculationBasis may be present.

### 65.1.34.10.1 Type <Tp>

Presence: [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type and information about a price.

*Datatype:* "TypeOfPrice9Code" on page 2519

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that



CodeName	Name	Definition
		is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

**65.1.34.10.2 ExtendedType <XtndedTp>***Presence:* [1..1]**Warning** Either Type or ExtendedType must be present, but not both.*Definition:* Type and information about a price.*Datatype:* "Extended350Code" on page 2534**65.1.34.10.3 PriceMethod <PricMtd>***Presence:* [0..1]*Definition:* Type of pricing calculation method.*Datatype:* "PriceMethod1Code" on page 2479

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**65.1.34.10.4 ValueInInvestmentCurrency <VallnInvstmtCcy>***Presence:* [1..\*]*Definition:* Value of the price, eg, as a currency and value.**ValueInInvestmentCurrency <VallnInvstmtCcy>** contains the following elements (see "PriceValue1" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

**65.1.34.10.5 ValueInAlternativeCurrency <VallnAltrntvCcy>***Presence:* [0..\*]*Definition:* Value of the price, eg, as a currency and value.**ValueInAlternativeCurrency <VallnAltrntvCcy>** contains the following elements (see "PriceValue1" on page 2126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

**65.1.34.10.6 ForExecutionIndicator <ForExctnInd>***Presence:* [1..1]*Definition:* Indicates whether the price information can be used for the execution of a transaction.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.34.10.7 CumDividendIndicator <CumDvddInd>

*Presence:* [1..1]

*Definition:* Indicates whether the dividend is included, ie, cum-dividend, in the price. When the dividend is not included, the price will be ex-dividend.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.34.10.8 CalculationBasis <ClctnBsis>

*Presence:* [0..1]

*Definition:* Ratio applied on the non-adjusted price.

*Datatype:* ["PercentageRate" on page 2534](#)

#### 65.1.34.10.9 EstimatedPriceIndicator <EstmtdPricInd>

*Presence:* [1..1]

*Definition:* Indicates whether the price is an estimated price.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.34.10.10 NumberOfDaysAccrued <NbOfDaysAcrd>

*Presence:* [0..1]

*Definition:* Specifies the number of days from trade date that the counterparty on the other side of the trade should "given up" or divulged.

*Datatype:* ["Number" on page 2533](#)

#### 65.1.34.10.11 TaxableIncomePerShare <TaxblIncmPerShr>

*Presence:* [0..1]

*Definition:* Amount included in the NAV that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410](#)

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.12 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

*Presence:* [0..1]

**Warning** Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Datatype:* "TaxableIncomePerShareCalculated2Code" on page 2499

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

#### 65.1.34.10.13 ExtendedTaxableIncomePerShareCalculated <XtndedTaxblIncmPerShrClctd>

*Presence:* [0..1]

**Warning** Either TaxableIncomePerShareCalculated or ExtendedTaxableIncomePerShareCalculated may be present, but not both.

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.14 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.15 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUDividendStatus1Code" on page 2437

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

#### 65.1.34.10.16 ExtendedEUDividendStatus <XtndedEUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.17 ChargeDetails <ChrgDtls>

*Presence:* [0..\*]

*Definition:* Amount of money associated with a service.

**ChargeDetails <ChrgDtls>** contains the following **Charge15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2113
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2114
{Or	Amount <Amt>	[1..1]	Amount	C2	2114
Or}	Rate <Rate>	[1..1]	Rate		2115
{Or	CalculationBasis <ClctnBsis>	[0..1]	CodeSet		2115
Or}	ExtendedCalculationBasis <XtndedClctnBsis>	[0..1]	Text		2115

##### 65.1.34.10.17.1 Type <Tp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of service for which a charge is asked or paid.

*Datatype:* "ChargeType9Code" on page 2424

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.1.34.10.17.2 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of service for which a charge is asked or paid.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.17.3 Amount <Amt>

*Presence:* [1..1]

**Warning** Either Amount or Rate must be present, but not both.

*Definition:* Amount of money asked or paid for the charge.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.17.4 Rate <Rate>

*Presence:* [1..1]

**Warning** Either Amount or Rate must be present, but not both.

*Definition:* Rate used to calculate the amount of the charge or fee.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.34.10.17.5 CalculationBasis <ClctnBsis>

*Presence:* [0..1]

**Warning** Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

*Definition:* Calculation basis for the charge or fee.

*Datatype:* "CalculationBasis2Code" on page 2420

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

#### 65.1.34.10.17.6 ExtendedCalculationBasis <XtndedClctnBsis>

*Presence:* [0..1]

**Warning** Either CalculationBasis or ExtendedCalculationBasis may be present, but not both.

*Definition:* Calculation basis for the charge or fee.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.18 TaxLiabilityDetails <TaxLbiltyDtls>

*Presence:* [0..\*]

*Definition:* Information related to taxes that are due.

*Impacted by:* C4 "AmountAndOrRateRule"

**TaxLiabilityDetails <TaxLblyDtls>** contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2116
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2117
	Amount <Amt>	[0..7]	Amount	C3	2117
	Rate <Rate>	[0..1]	Rate		2117
	Country <Ctry>	[1..1]	CodeSet	C11	2117
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2118
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2118
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2118
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2119
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2119
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2119
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2119
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2120

#### Constraints

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

#### 65.1.34.10.18.1 Type <Tp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of tax applied.

*Datatype:* "TaxType12Code" on page 2507

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old



CodeName	Name	Definition
		Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

#### 65.1.34.10.18.2 ExtendedType <XtndedTp>

*Presence:* [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

*Definition:* Type of tax applied.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.18.3 Amount <Amt>

*Presence:* [0..7]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.18.4 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.34.10.18.5 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country where the tax is due.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.34.10.18.6 TaxCalculationDetails <TaxClctnDtls>**

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2118
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2118
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2119
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2119
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2119
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2119
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2120

**65.1.34.10.18.6.1 EUCapitalGain <EUCptlGn>**

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUCapitalGain2Code" on page 2437

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

**65.1.34.10.18.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>**

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* ["Extended350Code"](#) on page 2534

#### 65.1.34.10.18.6.3 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.34.10.18.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

*Presence:* [0..1]

*Definition:* Percentage of grandfathered debt claim.

*Datatype:* ["PercentageRate"](#) on page 2534

#### 65.1.34.10.18.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyAnd13DecimalAmount"](#) on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.18.6.6 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* ["EUDividendStatus1Code"](#) on page 2437

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

**65.1.34.10.18.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>***Presence:* [0..1]**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.*Datatype:* "Extended350Code" on page 2534**65.1.34.10.19 TaxRefundDetails <TaxRfndDtls>***Presence:* [0..\*]*Definition:* Information related to taxes that are paid back.*Impacted by:* C4 "AmountAndOrRateRule"**TaxRefundDetails <TaxRfndDtls>** contains the following **Tax17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2120
Or}	ExtendedType <XtndedTp>	[1..1]	Text		2121
	Amount <Amt>	[0..7]	Amount	C3	2121
	Rate <Rate>	[0..1]	Rate		2122
	Country <Ctry>	[1..1]	CodeSet	C11	2122
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2122
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2122
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2123
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2123
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2123
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2123
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2124
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2124

**Constraints**

- **AmountAndOrRateRule**

If Amount is not present, then Rate is mandatory. If Amount is present, then Rate is optional.

**65.1.34.10.19.1 Type <Tp>***Presence:* [1..1]**Warning** Either Type or ExtendedType must be present, but not both.*Definition:* Type of tax applied.

Datatype: "TaxType12Code" on page 2507

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

#### 65.1.34.10.19.2 ExtendedType <XtndedTp>

Presence: [1..1]

**Warning** Either Type or ExtendedType must be present, but not both.

Definition: Type of tax applied.

Datatype: "Extended350Code" on page 2534

#### 65.1.34.10.19.3 Amount <Amt>

Presence: [0..7]

Definition: Amount of money resulting from the calculation of the tax.

Impacted by: C3 "ActiveOrHistoricCurrency"

Datatype: "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.19.4 Rate <Rate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.34.10.19.5 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country where the tax is due.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.34.10.19.6 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	EUCapitalGain <EUCptlGn>	[0..1]	CodeSet		2122
Or}	ExtendedEUCapitalGain <XtndedEUCptlGn>	[0..1]	Text		2123
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2123
	PercentageGrandfatheredDebt <PctgGrdfthdDebt>	[0..1]	Rate		2123
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C3	2123
{Or	EUDividendStatus <EUDvddSts>	[0..1]	CodeSet		2124
Or}	ExtendedEUDividendStatus <XtndedEUDvddSts>	[0..1]	Text		2124

#### 65.1.34.10.19.6.1 EUCapitalGain <EUCptlGn>

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUCapitalGain2Code" on page 2437

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 65.1.34.10.19.6.2 ExtendedEUCapitalGain <XtndedEUCptlGn>

*Presence:* [0..1]

**Warning** Either EUCapitalGain or ExtendedEUCapitalGain may be present, but not both.

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.34.10.19.6.3 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "PercentageRate" on page 2534

#### 65.1.34.10.19.6.4 PercentageGrandfatheredDebt <PctgGrdfthdDebt>

*Presence:* [0..1]

*Definition:* Percentage of grandfathered debt claim.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.34.10.19.6.5 TaxableIncomePerDividend <TaxblIncmPerDvdd>

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3)

contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.34.10.19.6.6 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "EUDividendStatus1Code" on page 2437

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

#### 65.1.34.10.19.6.7 ExtendedEUDividendStatus <XtndedEUDvddSts>

*Presence:* [0..1]

**Warning** Either EUDividendStatus or ExtendedEUDividendStatus may be present, but not both.

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

*Datatype:* "Extended350Code" on page 2534

### 65.1.34.11 PriceSource

*Definition:* Source of a price quotation when it is not the local market.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceSource <PricSrc>	[1..1]	CodeSet		2124
	Narrative <Nrrtv>	[0..1]	Text		2125

#### 65.1.34.11.1 PriceSource <PricSrc>

*Presence:* [1..1]

*Definition:* Source of the price.

*Datatype:* "PriceSource1Code" on page 2480

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.



CodeName	Name	Definition
VEND	Vendor	Source of price quotation is an external vendor.

#### 65.1.34.11.2 Narrative <Nrrtv>

*Presence:* [0..1]

*Definition:* Additional information about the source of a price.

*Datatype:* "Max35Text" on page 2536

#### 65.1.34.12 PriceRateOrAmountOrUnknownChoice

*Definition:* Choice of formats for the price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		2125
Or	Amount <Amt>	[1..1]	Amount	C3	2125
Or}	UnknownIndicator <UknwnInd>	[1..1]	Indicator		2125

##### 65.1.34.12.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Price expressed as a rate, ie, percentage.

*Datatype:* "PercentageRate" on page 2534

##### 65.1.34.12.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

##### 65.1.34.12.3 UnknownIndicator <UknwnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the market price is unknown.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 65.1.35 Price Value

### 65.1.35.1 PriceValue1

*Definition:* Value given to a price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C2	2126

#### 65.1.35.1.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

## 65.1.36 Quantity

### 65.1.36.1 Quantity47

*Definition:* Quantity of assets.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[0..1]	Quantity		2126
	PercentageRate <PctgRate>	[0..1]	Rate		2127
	FaceAmount <FaceAmt>	[0..1]	Amount		2127
	AmortisedValue <AmtdVal>	[0..1]	Amount		2127
	CashAmount <CshAmt>	[0..1]	Amount	C2	2127
	OtherAsset <OthrAsst>	[0..1]	Text		2127

#### 65.1.36.1.1 Unit <Unit>

*Presence:* [0..1]

*Definition:* Quantity of security to be transferred.

*Datatype:* "DecimalNumber" on page 2533

**65.1.36.1.2 PercentageRate <PctgRate>**

*Presence:* [0..1]

*Definition:* Percentage rate of assets to be transferred.

*Datatype:* "PercentageRate" on page 2534

**65.1.36.1.3 FaceAmount <FaceAmt>**

*Presence:* [0..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2411

**65.1.36.1.4 AmortisedValue <AmtsdVal>**

*Presence:* [0..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2411

**65.1.36.1.5 CashAmount <CshAmt>**

*Presence:* [0..1]

*Definition:* Cash amount to be transferred.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

**65.1.36.1.6 OtherAsset <OthrAsst>**

*Presence:* [0..1]

*Definition:* Quantity of asset to be transferred.

*Datatype:* "Max35Text" on page 2536

**65.1.37 Report Parameter****65.1.37.1 DataFormat2Choice**

*Definition:* Choice between the specification of the data in a structured or unstructured form.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Structured <Strd>	[1..1]	±		2128
Or}	Unstructured <Ustrd>	[1..1]	Text		2128

#### 65.1.37.1.1 Structured <Strd>

*Presence:* [1..1]

*Definition:* Specification of data in a structured form.

**Structured <Strd>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.37.1.2 Unstructured <Ustrd>

*Presence:* [1..1]

*Definition:* Specification of data for which there isn't a structured form.

*Datatype:* "[Max140Text](#)" on page 2535

#### 65.1.37.2 FrequencyCodeAndDSSCode1Choice

*Definition:* Choice between formats for the frequency.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	FrequencyAsCode <FrqcyAsCd>	[1..1]	CodeSet		2128
Or}	FrequencyAsDSS <FrqcyAsDSS>	[1..1]	±		2129

##### 65.1.37.2.1 FrequencyAsCode <FrqcyAsCd>

*Presence:* [1..1]

*Definition:* Frequency expressed as a code.

*Datatype:* "[EventFrequency1Code](#)" on page 2438

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.

CodeName	Name	Definition
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

### 65.1.37.2.2 FrequencyAsDSS <FrqcyAsDSS>

*Presence:* [1..1]

*Definition:* Frequency expressed as a data source scheme and a code used within the data source scheme.

**FrequencyAsDSS <FrqcyAsDSS>** contains the following elements (see "[GenericIdentification7](#)" on page 1362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1362
	Information <Inf>	[1..1]	Text		1363

## 65.1.38 Safekeeping Place

### 65.1.38.1 SafekeepingPlaceFormatChoice

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]		C13	2129
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130
Or	IdentificationAsDSS <IdAsDSS>	[1..1]	±		2131
Or}	IdentificationAsCountry <IdAsCtry>	[1..1]	CodeSet	C11	2131

#### 65.1.38.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and BIC.

Impacted by: C13 "Party1Rule"

**Identification <Id>** contains the following **SafekeepingPlaceAsCodeAndPartyIdentification** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceSafekeeping <PlcSfkpg>	[1..1]	CodeSet		2130
	Narrative <Nrrtv>	[0..1]	Text		2130
	Party <Pty>	[0..1]	±		2130

#### Constraints

- **Party1Rule**

If PlaceSafekeeping is not SHHE, then Party is mandatory. If PlaceSafekeeping is SHHE, then Party is optional.

#### 65.1.38.1.1.1 PlaceSafekeeping <PlcSfkpg>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2492

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

#### 65.1.38.1.1.2 Narrative <Nrrtv>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* "Max35Text" on page 2536

#### 65.1.38.1.1.3 Party <Pty>

*Presence:* [0..1]

*Definition:* Place of safekeeping.

**Party <Pty>** contains the following elements (see "PartyIdentification3" on page 1768 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICOrBEI <BICOrBEI>	[1..1]	IdentifierSet	C7	1768

### 65.1.38.1.2 IdentificationAsDSS <IdAsDSS>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**IdentificationAsDSS <IdAsDSS>** contains the following elements (see "[GenericIdentification5](#)" on page 1363 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1363
	Information <Inf>	[1..1]	Text		1364
	Narrative <Nrrtv>	[0..1]	Text		1364

### 65.1.38.1.3 IdentificationAsCountry <IdAsCtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.38.2 SafekeepingPlaceFormat28Choice

*Definition:* Choice of formats for a place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

#### 65.1.38.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132

#### 65.1.38.2.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace2Code" on page 2492

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

#### 65.1.38.2.1.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* "Max35Text" on page 2536

#### 65.1.38.2.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.38.2.3 TypeAndIdentification <TpAndId>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a type and identification.



**TypeAndIdentification <TpAndId>** contains the following **SafekeepingPlaceTypeAndIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133

#### 65.1.38.2.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2492

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

#### 65.1.38.2.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 2522

#### 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.

#### 65.1.38.2.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification78](#)" on page 1353 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1353
	Identification <Id>	[0..1]	Text		1353

### 65.1.38.3 SafekeepingPlaceFormat8Choice

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2134
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2134
	Identification <Id>	[0..1]	Text		2135
Or	Country <Ctry>	[1..1]	CodeSet	C11	2135
Or	TypeAndIdentification <TpAndId>	[1..1]			2135
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2135
	Identification <Id>	[1..1]	IdentifierSet	C7	2136
Or}	Proprietary <Prtry>	[1..1]	±		2136

#### 65.1.38.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2134
	Identification <Id>	[0..1]	Text		2135

##### 65.1.38.3.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "[SafekeepingPlace2Code](#)" on page 2492

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

CodeName	Name	Definition
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

#### 65.1.38.3.1.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* "Max35Text" on page 2536

#### 65.1.38.3.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.38.3.3 TypeAndIdentification <TpAndId>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a type and identification.

**TypeAndIdentification <TpAndId>** contains the following **SafekeepingPlaceTypeAndAnyBICIdentifier1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2135
	Identification <Id>	[1..1]	IdentifierSet	C7	2136

#### 65.1.38.3.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 2492

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.

CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

#### 65.1.38.3.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICIdentifier" on page 2522

#### Constraints

- AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

#### 65.1.38.3.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification78" on page 1353 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1353
	Identification <Id>	[0..1]	Text		1353

## 65.1.39 Securities Identification

### 65.1.39.1 AlternateSecurityIdentification1

*Definition:* Proprietary or domestic identification scheme that uniquely identifies a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2136
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	2137
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		2137

#### 65.1.39.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of a security.

*Datatype:* "Max35Text" on page 2536

### 65.1.39.1.2 DomesticIdentificationSource <DmstIdSrc>

*Presence:* [1..1]

**Warning** Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

*Definition:* Country of the proprietary identification scheme.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.39.1.3 ProprietaryIdentificationSource <PrtryIdSrc>

*Presence:* [1..1]

**Warning** Either DomesticIdentificationSource or ProprietaryIdentificationSource must be present, but not both.

*Definition:* Entity that issues the proprietary identification.

*Datatype:* "Max35Text" on page 2536

## 65.1.39.2 SecurityIdentification3Choice

*Definition:* Choice between formats for the identification of a financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISIN <ISIN>	[1..1]	IdentifierSet		2138
Or	SEDOL <SEDOL>	[1..1]	IdentifierSet		2138
Or	CUSIP <CUSIP>	[1..1]	IdentifierSet		2138
Or	RIC <RIC>	[1..1]	IdentifierSet		2139
Or	TickerSymbol <TckrSymb>	[1..1]	IdentifierSet		2139
Or	Bloomberg <Blmbrg>	[1..1]	IdentifierSet		2139
Or	CTA <CTA>	[1..1]	IdentifierSet		2139
Or	QUICK <QUICK>	[1..1]	IdentifierSet		2139
Or	Wertpapier <Wrtppr>	[1..1]	IdentifierSet		2139
Or	Dutch <Dtch>	[1..1]	IdentifierSet		2139
Or	Valoren <Vlrr>	[1..1]	IdentifierSet		2140
Or	Sicovam <SCVM>	[1..1]	IdentifierSet		2140
Or	Belgian <Belgn>	[1..1]	IdentifierSet		2140
Or	Common <Cmon>	[1..1]	IdentifierSet		2140
Or}	OtherProprietaryIdentification <OthrPrtryId>	[1..1]	±		2140

#### 65.1.39.2.1 ISIN <ISIN>

*Presence:* [1..1]

*Definition:* International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

*Datatype:* "ISINIdentifier" on page 2528

#### 65.1.39.2.2 SEDOL <SEDOL>

*Presence:* [1..1]

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Datatype:* "SEDOLIdentifier" on page 2530

#### 65.1.39.2.3 CUSIP <CUSIP>

*Presence:* [1..1]

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. The CUSIP is composed of a 9-character number that uniquely identifies a particular security. Non-US securities have a similar number called the CINS number.

*Datatype:* "CUSIPIdentifier" on page 2525

#### **65.1.39.2.4 RIC <RIC>**

*Presence:* [1..1]

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, eg, IBM in UK is IBM.UK.

*Datatype:* "RICIdentifier" on page 2530

#### **65.1.39.2.5 TickerSymbol <TckrSymb>**

*Presence:* [1..1]

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, eg, RTR.L for Reuters quoted in London.

*Datatype:* "TickerIdentifier" on page 2532

#### **65.1.39.2.6 Bloomberg <Blmbrg>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Bloomberg organisation.

*Datatype:* "BloombergIdentifier" on page 2524

#### **65.1.39.2.7 CTA <CTA>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Datatype:* "ConsolidatedTapeAssociationIdentifier" on page 2525

#### **65.1.39.2.8 QUICK <QUICK>**

*Presence:* [1..1]

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Datatype:* "QUICKIdentifier" on page 2530

#### **65.1.39.2.9 Wertpapier <Wrtppr>**

*Presence:* [1..1]

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Datatype:* "WertpapierIdentifier" on page 2532

#### **65.1.39.2.10 Dutch <Dtch>**

*Presence:* [1..1]

*Definition:* Identifier for Dutch securities.

*Datatype:* "DutchIdentifier" on page 2525

**65.1.39.2.11 Valoren <Vlrn>***Presence:* [1..1]*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.*Datatype:* "ValorenIdentifier" on page 2532**65.1.39.2.12 Sicovam <SCVM>***Presence:* [1..1]*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilières in France. The Sicovam is composed of 5-digits.*Datatype:* "SicovamIdentifier" on page 2530**65.1.39.2.13 Belgian <Belgn>***Presence:* [1..1]*Definition:* Identifier for Belgian securities.*Datatype:* "BelgianIdentifier" on page 2523**65.1.39.2.14 Common <Cmon>***Presence:* [1..1]*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.*Datatype:* "EuroclearClearstreamIdentifier" on page 2526**65.1.39.2.15 OtherProprietaryIdentification <OthrPrtryId>***Presence:* [1..1]*Definition:* Proprietary identification of a security assigned by an institution or organisation.**OtherProprietaryIdentification <OthrPrtryId>** contains the following elements (see "AlternateSecurityIdentification1" on page 2136 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		2136
{Or	DomesticIdentificationSource <DmstIdSrc>	[1..1]	CodeSet	C11	2137
Or}	ProprietaryIdentificationSource <PrtryIdSrc>	[1..1]	Text		2137

**65.1.40 Securities Quantity****65.1.40.1 FinancialInstrumentQuantity1***Definition:* Quantity of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Unit <Unit>	[1..1]	Quantity		2141



**65.1.40.1.1 Unit <Unit>**

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, eg, a number of shares.

*Datatype:* "DecimalNumber" on page 2533

**65.1.40.2 UnitsOrAmountOrPercentage1Choice**

*Definition:* Choice between an amount or number of units or percentage.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2141
Or	Unit <Unit>	[1..1]	Quantity		2141
Or}	Percentage <Pctg>	[1..1]	Rate		2141

**65.1.40.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.40.2.2 Unit <Unit>**

*Presence:* [1..1]

*Definition:* Number of units.

*Datatype:* "DecimalNumber" on page 2533

**65.1.40.2.3 Percentage <Pctg>**

*Presence:* [1..1]

*Definition:* Percentage of cash amount.

*Datatype:* "PercentageRate" on page 2534

### 65.1.40.3 FinancialInstrumentQuantityChoice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		2142
Or	FaceAmount <FaceAmt>	[1..1]	Amount		2142
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		2142

#### 65.1.40.3.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, eg, a number of shares.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.40.3.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, ie, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2411

#### 65.1.40.3.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, eg, a periodic reduction of a bond's principal amount.

*Datatype:* "ImpliedCurrencyAndAmount" on page 2411

## 65.1.41 Service Level Agreement

### 65.1.41.1 DocumentToSend4

*Definition:* Type of document and the type of communication method to be used to notify a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2142
	Recipient <Rcpt>	[1..1]	±		2143
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2143
{Or	Code <Cd>	[1..1]	CodeSet		2143
Or}	Proprietary <Prtry>	[1..1]	±		2143

#### 65.1.41.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of document.

*Datatype:* "Max140Text" on page 2535

#### 65.1.41.1.2 Recipient <Rcpt>

*Presence:* [1..1]

*Definition:* Party that should receive the document.

**Recipient <Rcpt>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.41.1.3 MethodOfTransmission <MtdOfTrnsmssn>

*Presence:* [1..1]

*Definition:* Communication method to be used.

**MethodOfTransmission <MtdOfTrnsmssn>** contains one of the following **CommunicationMethod3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2143
Or}	Proprietary <Prtry>	[1..1]	±		2143

##### 65.1.41.1.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Method of transmission expressed as a code.

*Datatype:* "CommunicationMethod1Code" on page 2426

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

##### 65.1.41.1.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Method of transmission expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.41.2 ModificationScope44

*Definition:* Scope of the modification to be applied on an identified set of information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2144
	ServiceLevelAgreement <SvcLvIAgrmt>	[1..1]	±		2144

### 65.1.41.2.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "[DataModification1Code](#)" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 65.1.41.2.2 ServiceLevelAgreement <SvcLvIAgrmt>

*Presence:* [1..1]

*Definition:* Identification of information which is part of a service level agreement.

**ServiceLevelAgreement <SvcLvIAgrmt>** contains the following elements (see "[DocumentToSend4](#)" on page 2142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	Text		2142
	Recipient <Rcpt>	[1..1]	±		2143
	MethodOfTransmission <MtdOfTrnsmssn>	[1..1]			2143
{Or	Code <Cd>	[1..1]	CodeSet		2143
Or}	Proprietary <Prtry>	[1..1]	±		2143

## 65.1.42 Settlement Details

### 65.1.42.1 FundSettlementParameters12

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2147
	SettlementPlace <SttlmPlc>	[1..1]	±		2147
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2147
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2148
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2148
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2148
	ReceivingSideDetails <RcvgSdDtls>	[0..1]		C27, C28	2148
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152
	DeliveringSideDetails <DlvrgSdDtls>	[1..1]		C12, C13	2152
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 65.1.42.1.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2521

#### 65.1.42.1.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat8Choice" on page 2134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2134
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2134
	Identification <Id>	[0..1]	Text		2135
Or	Country <Ctry>	[1..1]	CodeSet	C11	2135
Or	TypeAndIdentification <TpAndId>	[1..1]			2135
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2135
	Identification <Id>	[1..1]	IdentifierSet	C7	2136
Or}	Proprietary <Prtry>	[1..1]	±		2136

#### 65.1.42.1.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identifies the securities settlement system to be used.

*Datatype:* "Max35Text" on page 2536

#### 65.1.42.1.5 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.42.1.6 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.42.1.7 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"



**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2149
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2150
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2151
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition

/ReceiversIntermediary1Details is present

Following Must be True

/ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition

/ReceiversIntermediary2Details is present

Following Must be True

/ReceiversIntermediary1Details Must be present

#### 65.1.42.1.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2150

#### 65.1.42.1.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2150
	AccountIdentification <AcctId>	[0..1]	Text		2151

#### 65.1.42.1.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2151
	AccountIdentification <AcctId>	[0..1]	Text		2151

#### 65.1.42.1.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2152
	AccountIdentification <AcctId>	[0..1]	Text		2152

#### 65.1.42.1.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [1..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2153
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2154
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2155
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

On Condition

/DeliverersIntermediary1Details is present

Following Must be True

/DeliverersCustodianDetails Must be present

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

On Condition

/DeliverersIntermediary2Details is present

Following Must be True

/DeliverersIntermediary1Details Must be present

#### 65.1.42.1.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.

**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2154

#### 65.1.42.1.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2154
	AccountIdentification <AcctId>	[0..1]	Text		2155

#### 65.1.42.1.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2155
	AccountIdentification <AcctId>	[0..1]	Text		2155

#### 65.1.42.1.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.1.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

**DeliveringAgentDetails <DlvrgAgtDtIs>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2156
	AccountIdentification <AcctId>	[0..1]	Text		2156

#### 65.1.42.1.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.1.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

### 65.1.42.2 FundSettlementParameters11

*Definition:* Parameters applied to the settlement of a security.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementDate <SttlmDt>	[0..1]	Date		2158
	SettlementPlace <SttlmPlc>	[1..1]	±		2158
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2158
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2159
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2159
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2159
	ReceivingSideDetails <RcvgSdDtls>	[1..1]		C27, C28	2159
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]		C12, C13	2163
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 65.1.42.2.1 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be delivered or received.

*Datatype:* "ISODate" on page 2521

#### 65.1.42.2.2 SettlementPlace <SttlmPlc>

*Presence:* [1..1]

*Definition:* Place where the settlement of the transaction will take place. In the context of investment funds, the place of settlement is the transfer agent, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SettlementPlace <SttlmPlc>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat8Choice" on page 2134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2134
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2134
	Identification <Id>	[0..1]	Text		2135
Or	Country <Ctry>	[1..1]	CodeSet	C11	2135
Or	TypeAndIdentification <TpAndId>	[1..1]			2135
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2135
	Identification <Id>	[1..1]	IdentifierSet	C7	2136
Or}	Proprietary <Prtry>	[1..1]	±		2136

#### 65.1.42.2.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2536

#### 65.1.42.2.5 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.42.2.6 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.42.2.7 ReceivingSideDetails <RcvgSdDtIs>

*Presence:* [1..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* C27 "ReceiversCustodianRule", C28 "ReceiversIntermediary1DetailsRule"

**ReceivingSideDetails <RcvgSdDtls>** contains the following **ReceivingPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReceiversCustodianDetails <RcvrsCtdnDtls>	[0..1]			2160
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161
	ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>	[0..1]			2161
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>	[0..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162
	ReceivingAgentDetails <RcvgAgtDtls>	[1..1]			2162
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163

#### Constraints

- **ReceiversCustodianRule**

If ReceiversIntermediary1Details is present, then ReceiversCustodianDetails must be present. If ReceiversIntermediary1Details is not present, then ReceiversCustodianDetails is optional.

On Condition

/ReceiversIntermediary1Details is present

Following Must be True

/ReceiversCustodianDetails Must be present

- **ReceiversIntermediary1DetailsRule**

If ReceiversIntermediary2Details is present, then ReceiversIntermediary1Details must be present. If ReceiversIntermediary2Details is not present, then ReceiversIntermediary1Details is optional.

On Condition

/ReceiversIntermediary2Details is present

Following Must be True

/ReceiversIntermediary1Details Must be present

#### 65.1.42.2.7.1 ReceiversCustodianDetails <RcvrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the buyer of securities when the buyer does not have a direct relationship with the receiving agent.

**ReceiversCustodianDetails <RcvrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2161

#### 65.1.42.2.7.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.7.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.2.7.2 ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the receiver's custodian uses to effect the receipt of a security, when the receiver's custodian does not have a direct relationship with the receiving agent.

**ReceiversIntermediary1Details <RcvrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2161
	AccountIdentification <AcctId>	[0..1]	Text		2162

#### 65.1.42.2.7.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.7.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.42.2.7.3 ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>

*Presence:* [0..1]

*Definition:* Party that interacts with the receiver's intermediary 1.

**ReceiversIntermediary2Details <RcvrsIntrmy2Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2162
	AccountIdentification <AcctId>	[0..1]	Text		2162

#### 65.1.42.2.7.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.7.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.42.2.7.4 ReceivingAgentDetails <RcvgAgtDtls>

*Presence:* [1..1]

*Definition:* Party that receives securities from the delivering agent at the place of settlement, for example, central securities depository.

**ReceivingAgentDetails <RcvgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2163
	AccountIdentification <AcctId>	[0..1]	Text		2163

#### 65.1.42.2.7.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.7.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.2.8 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction resulting in the movement of a security from one account to another.

*Impacted by:* [C12 "DeliverersCustodianRule"](#), [C13 "DeliverersIntermediary1DetailsRule"](#)

**DeliveringSideDetails <DlvrgSdDtls>** contains the following **DeliveringPartiesAndAccount16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeliverersCustodianDetails <DlvrrsCtdnDtls>	[0..1]			2164
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165
	DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>	[0..1]			2165
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliverersIntermediary2Details <DlvrrsIntrmy2Dtls>	[0..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166
	DeliveringAgentDetails <DlvrgAgtDtls>	[1..1]			2166
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### Constraints

- **DeliverersCustodianRule**

If DeliverersIntermediary1Details is present, then DeliverersCustodianDetails must be present. If DeliverersIntermediary1Details is not present then DeliverersCustodianDetails is optional.

On Condition

/DeliverersIntermediary1Details is present

Following Must be True

/DeliverersCustodianDetails Must be present

- **DeliverersIntermediary1DetailsRule**

If DeliverersIntermediary2Details is present, then DeliverersIntermediary1Details must be present. If DeliverersIntermediary2Details is not present then DeliverersIntermediary1Details is optional.

On Condition

/DeliverersIntermediary2Details is present

Following Must be True

/DeliverersIntermediary1Details Must be present

#### 65.1.42.2.8.1 DeliverersCustodianDetails <DlvrrsCtdnDtls>

*Presence:* [0..1]

*Definition:* Party that acts on behalf of the seller of securities when the seller does not have a direct relationship with the delivering agent.



**DeliverersCustodianDetails <DlvrrsCtdnDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2165

#### 65.1.42.2.8.1.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.8.1.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

#### 65.1.42.2.8.2 DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>

*Presence:* [0..1]

*Definition:* Party that the deliverer's custodian uses to effect the delivery of a security, when the deliverer's custodian does not have a direct relationship with the delivering agent.

**DeliverersIntermediary1Details <DlvrrsIntrmy1Dtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2165
	AccountIdentification <AcctId>	[0..1]	Text		2166

#### 65.1.42.2.8.2.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.8.2.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.42.2.8.3 DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>

*Presence:* [0..1]

*Definition:* Party that interacts with the deliverer's intermediary 1.

**DeliverersIntermediary2Details <DlvrrsIntrmy2DtIs>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2166
	AccountIdentification <AcctId>	[0..1]	Text		2166

#### 65.1.42.2.8.3.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see ["PartyIdentification113"](#) on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.8.3.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* ["Max35Text"](#) on page 2536

#### 65.1.42.2.8.4 DeliveringAgentDetails <DlvrgAgtDtIs>

*Presence:* [1..1]

*Definition:* Party that delivers securities to the receiving agent at the place of settlement, for example, central securities depository.

**DeliveringAgentDetails <DlvrgAgtDtls>** contains the following **PartyIdentificationAndAccount147** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PartyIdentification <PtyId>	[1..1]	±		2167
	AccountIdentification <AcctId>	[0..1]	Text		2167

#### 65.1.42.2.8.4.1 PartyIdentification <PtyId>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**PartyIdentification <PtyId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.42.2.8.4.2 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the account owned by the party.

*Datatype:* "[Max35Text](#)" on page 2536

## 65.1.43 Settlement Instruction

### 65.1.43.1 CashSettlement3

*Definition:* Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashAccountDetails <CshAcctDtls>	[0..*]			2168
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2169
	Identification <Id>	[1..1]	±		2169
	AccountOwner <AcctOwnr>	[0..1]	±		2170
	AccountServicer <AcctSvcr>	[0..1]	±		2170
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2170
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2171
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2171
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2171
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2172
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountPurpose <CshAcctPurp>	[0..1]			2173
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2174
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174
	DividendPercentage <DvddPctg>	[0..1]	Rate		2174
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2175

#### 65.1.43.1.1 CashAccountDetails <CshAcctDtls>

*Presence:* [0..\*]

*Definition:* Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

**CashAccountDetails <CshAcctDtls>** contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2169
	Identification <Id>	[1..1]	±		2169
	AccountOwner <AcctOwnr>	[0..1]	±		2170
	AccountServicer <AcctSvcr>	[0..1]	±		2170
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2170
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2171
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2171
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2171
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2172
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountPurpose <CshAcctPurp>	[0..1]			2173
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2174
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174
	DividendPercentage <DvddPctg>	[0..1]	Rate		2174

#### 65.1.43.1.1.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.43.1.1.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see ["AccountIdentificationAndName5"](#) on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.43.1.1.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see ["PartyIdentification125Choice"](#) on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.43.1.1.4 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see ["FinancialInstitutionIdentification11Choice"](#) on page 1164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

#### 65.1.43.1.1.5 AccountServicerBranch <AcctSvcrBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.43.1.1.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IsseDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

#### 65.1.43.1.1.7 InvestmentAccountType <InvstmtAcctTp>

*Presence:* [0..1]

*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.43.1.1.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 65.1.43.1.1.9 SettlementInstructionReason <SttlInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2172
Or}	Proprietary <Prtry>	[1..1]	±		2173

##### 65.1.43.1.1.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2496

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.



CodeName	Name	Definition
CORP	CorporateAction	Settlement of corporate actions.

#### 65.1.43.1.1.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.43.1.1.10 CashAccountPurpose <CshAcctPurp>

*Presence:* [0..1]

*Definition:* Purpose of the cash account.

**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2173
Or}	Proprietary <Prtry>	[1..1]	±		2173

##### 65.1.43.1.1.10.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a code.

*Datatype:* "[CashAccountType5Code](#)" on page 2422

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

##### 65.1.43.1.1.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.43.1.1.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2174
Or}	Proprietary <Prtry>	[1..1]	±		2174

##### 65.1.43.1.1.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "[Rank1Code](#)" on page 2482

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 65.1.43.1.1.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.43.1.1.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2534

#### 65.1.43.1.2 OtherCashSettlementDetails <OthrCshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Method of payment other than a cash account.

**OtherCashSettlementDetails <OthrCshSttlmDtls>** contains the following elements (see "PaymentInstrument17" on page 1951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	1952
	DividendPercentage <DvddPctg>	[0..1]	Rate		1953
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			1953
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1953
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1953
Or	Cheque <Chq>	[1..1]	Indicator		1954
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1954
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			1954
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1955
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			1955
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1956
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			1956
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1956
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1957
Or	Cheque <Chq>	[1..1]	Indicator		1957
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1958
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			1958
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1958
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1958

#### 65.1.43.2 CashSettlement4

*Definition:* Cash settlement parties and accounts.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ModificationScopeIndication <ModScplIndctn>	[1..1]	CodeSet		2176
	CashAccountDetails <CshAcctDtls>	[0..*]			2176
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2177
	Identification <Id>	[1..1]	±		2178
	AccountOwner <AcctOwnr>	[0..1]	±		2178
	AccountServicer <AcctSvcr>	[0..1]	±		2178
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2179
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2179
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2179
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2180
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2180
{Or	Code <Cd>	[1..1]	CodeSet		2180
Or}	Proprietary <Prtry>	[1..1]	±		2181
	CashAccountPurpose <CshAcctPurp>	[0..1]			2181
{Or	Code <Cd>	[1..1]	CodeSet		2181
Or}	Proprietary <Prtry>	[1..1]	±		2182
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2182
{Or	Code <Cd>	[1..1]	CodeSet		2182
Or}	Proprietary <Prtry>	[1..1]	±		2182
	DividendPercentage <DvddPctg>	[0..1]	Rate		2183
	OtherCashSettlementDetails <OthrCshSttlmDtls>	[0..*]	±		2183

#### 65.1.43.2.1 ModificationScopeIndication <ModScplIndctn>

*Presence:* [1..1]

*Definition:* Specifies the type of modification to be applied.

*Datatype:* "DataModification2Code" on page 2434

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.1.43.2.2 CashAccountDetails <CshAcctDtls>

*Presence:* [0..\*]

*Definition:* Account to credit or debit. When this is an account to debit, this is for the payment of a subscription to an investment fund, a savings plan payment, the purchase of securities or the payment

of charges. When this is an account to credit, this is for the payment of an amount as a result of a redemption of investment fund units, the sale of securities, interest and dividend payments. A single account may be specified for all cash movements on the account or cash accounts may be specified for specific types of transactions on the account.

**CashAccountDetails** <CshAcctDtls> contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2177
	Identification <Id>	[1..1]	±		2178
	AccountOwner <AcctOwnr>	[0..1]	±		2178
	AccountServicer <AcctSvcr>	[0..1]	±		2178
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2179
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2179
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2179
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2180
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2180
{Or	Code <Cd>	[1..1]	CodeSet		2180
Or}	Proprietary <Prtry>	[1..1]	±		2181
	CashAccountPurpose <CshAcctPurp>	[0..1]			2181
{Or	Code <Cd>	[1..1]	CodeSet		2181
Or}	Proprietary <Prtry>	[1..1]	±		2182
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2182
{Or	Code <Cd>	[1..1]	CodeSet		2182
Or}	Proprietary <Prtry>	[1..1]	±		2182
	DividendPercentage <DvddPctg>	[0..1]	Rate		2183

#### 65.1.43.2.2.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.43.2.2.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.43.2.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.43.2.2.4 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[FinancialInstitutionIdentification11Choice](#)" on page 1164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

**65.1.43.2.2.5 AccountServicerBranch <AcctSvcrBrnch>***Presence:* [0..1]*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

**65.1.43.2.2.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>***Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IsseDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

**65.1.43.2.2.7 InvestmentAccountType <InvstmtAcctTp>***Presence:* [0..1]*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.43.2.2.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 65.1.43.2.2.9 SettlementInstructionReason <SttlmInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlmInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2180
Or}	Proprietary <Prtry>	[1..1]	±		2181

##### 65.1.43.2.2.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2496

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.



CodeName	Name	Definition
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

#### 65.1.43.2.2.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.43.2.2.10 CashAccountPurpose <CshAcctPurp>

*Presence:* [0..1]

*Definition:* Purpose of the cash account.

**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2181
Or}	Proprietary <Prtry>	[1..1]	±		2182

#### 65.1.43.2.2.10.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a code.

*Datatype:* "[CashAccountType5Code](#)" on page 2422

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.

CodeName	Name	Definition
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

#### 65.1.43.2.2.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.43.2.2.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2182
Or}	Proprietary <Prtry>	[1..1]	±		2182

##### 65.1.43.2.2.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "Rank1Code" on page 2482

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 65.1.43.2.2.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.43.2.2.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]

*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "[PercentageBoundedRate](#)" on page 2534

#### 65.1.43.2.3 OtherCashSettlementDetails <OthrCshSttlmDtls>

*Presence:* [0..\*]

*Definition:* Method of payment other than a cash account.

**OtherCashSettlementDetails <OthrCshSttlmDtls>** contains the following elements (see "PaymentInstrument17" on page 1951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	1952
	DividendPercentage <DvddPctg>	[0..1]	Rate		1953
	SubscriptionPaymentInstrument <SbcptPmtInstrm>	[0..1]			1953
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1953
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1953
Or	Cheque <Chq>	[1..1]	Indicator		1954
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1954
	RedemptionPaymentInstrument <RedPmtInstrm>	[0..1]			1954
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1955
	DividendPaymentInstrument <DvddPmtInstrm>	[0..1]			1955
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1955
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1956
	SavingsPlanPaymentInstrument <SvgsPlanPmtInstrm>	[0..1]			1956
{Or	PaymentCardDetails <PmtCardDtls>	[1..1]	±		1956
Or	DirectDebitDetails <DrctDbtDtls>	[1..1]	±		1957
Or	Cheque <Chq>	[1..1]	Indicator		1957
Or}	BankersDraft <BkrsDrft>	[1..1]	Indicator		1958
	InterestPaymentInstrument <IntrstPmtInstrm>	[0..1]			1958
{Or	ChequeDetails <ChqDtls>	[1..1]	±		1958
Or}	BankersDraftDetails <BkrsDrftDtls>	[1..1]	±		1958

## 65.1.44 Statement Basis

### 65.1.44.1 StatementBasisCodeAndDSSCodeChoice

*Definition:* Choice between formats for the statement basis.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementBasisAsCode <StmtBsisAsCd>	[1..1]	CodeSet		2185
Or}	StatementBasisAsDSS <StmtBsisAsDSS>	[1..1]	±		2185

### 65.1.44.1.1 StatementBasisAsCode <StmntBsisAsCd>

*Presence:* [1..1]

*Definition:* Statement basis expressed as a code.

*Datatype:* "StatementBasis1Code" on page 2498

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.
TRAD	Traded	The statement is based on trade date positions.

### 65.1.44.1.2 StatementBasisAsDSS <StmntBsisAsDSS>

*Presence:* [1..1]

*Definition:* Statement basis expressed as a data source scheme and a code used within the data source scheme.

**StatementBasisAsDSS <StmntBsisAsDSS>** contains the following elements (see "GenericIdentification7" on page 1362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1362
	Information <Inf>	[1..1]	Text		1363

## 65.1.45 Statement Update Type

### 65.1.45.1 StatementUpdateTypeCodeAndDSSCodeChoice

*Definition:* Choice between formats for the update type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	StatementUpdateTypeAsCode <StmntUpdTpAsCd>	[1..1]	CodeSet		2185
Or}	StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>	[1..1]	±		2186

### 65.1.45.1.1 StatementUpdateTypeAsCode <StmntUpdTpAsCd>

*Presence:* [1..1]

*Definition:* Update type expressed as a code.

*Datatype:* "StatementUpdateTypeCode" on page 2498

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

### 65.1.45.1.2 StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>

*Presence:* [1..1]

*Definition:* Update type expressed as a data source scheme and a code used within the data source scheme.

**StatementUpdateTypeAsDSS <StmntUpdTpAsDSS>** contains the following elements (see "[GenericIdentification7](#)" on page 1362 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Issuer <Issr>	[1..1]	Text		1362
	Information <Inf>	[1..1]	Text		1363

## 65.1.46 Status

### 65.1.46.1 AccountingStatus1Choice

*Definition:* Choice of formats for the accounting status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2186
Or}	Proprietary <Prtry>	[1..1]	±		2186

#### 65.1.46.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Accounting status expressed as a code.

*Datatype:* "[AccountingStatus1Code](#)" on page 2412

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

#### 65.1.46.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Accounting status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.46.2 DrawdownStatus1Choice

*Definition:* Choice of formats for a drawdown status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2187
Or}	Proprietary <Prtry>	[1..1]	±		2187

### 65.1.46.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status expressed as a code.

*Datatype:* "DrawdownStatus1Code" on page 2436

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

### 65.1.46.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.46.3 TransferCancellationStatus3

*Definition:* Transfer cancellation status is accepted or sent to next party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2187
	Reason <Rsn>	[0..1]	Text		2188

### 65.1.46.3.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the transfer cancellation is accepted or sent to next party.

*Datatype:* "CancellationStatus5Code" on page 2421

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

#### 65.1.46.3.2 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the status.

*Datatype:* "Max350Text" on page 2536

#### 65.1.46.4 TransferUnmatchedStatus4Choice

*Definition:* Reason for the unmatched status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2188
Or	Reason <Rsn>	[1..1]	CodeSet		2188
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2189
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2189

##### 65.1.46.4.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

##### 65.1.46.4.2 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the unmatched status.

*Datatype:* "TransferUnmatchedReason3Code" on page 2515

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.



CodeName	Name	Definition
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

#### 65.1.46.4.3 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the unmatched status.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.46.4.4 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the unmatched status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.5 TransferInstructionStatus5

*Definition:* Instruction status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	CodeSet		2190
	Reason <Rsn>	[0..1]	Text		2190

#### 65.1.46.5.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status code.

*Datatype:* "TransferStatus6Code" on page 2514

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

#### 65.1.46.5.2 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the status.

*Datatype:* "Max350Text" on page 2536

#### 65.1.46.6 OtherAccountStatus1

*Definition:* Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2191
	Reason <Rsn>	[0..1]	±		2191

**65.1.46.6.1 Status <Sts>***Presence:* [1..1]*Definition:* Status of the account.**Status <Sts>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.46.6.2 Reason <Rsn>***Presence:* [0..1]*Definition:* Reason for the status of the account.**Reason <Rsn>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.46.7 ClosurePendingStatusReason1Choice***Definition:* Choice of formats for a closure pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2191
Or}	Reason <Rsn>	[1..*]			2192
	Code <Cd>	[1..1]			2192
{Or	Code <Cd>	[1..1]	CodeSet		2192
Or}	Proprietary <Prtry>	[1..1]	±		2192
	AdditionalInformation <AddtlInf>	[0..1]	Text		2193

**65.1.46.7.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* There is no reason available or to report for the closure pending status.*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 65.1.46.7.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the closure pending status.

**Reason <Rsn>** contains the following **ClosurePendingStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2192
{Or	Code <Cd>	[1..1]	CodeSet		2192
Or}	Proprietary <Prtry>	[1..1]	±		2192
	AdditionalInformation <AddtlInf>	[0..1]	Text		2193

#### 65.1.46.7.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the closure pending status.

**Code <Cd>** contains one of the following **ClosurePendingStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2192
Or}	Proprietary <Prtry>	[1..1]	±		2192

##### 65.1.46.7.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the closure pending status expressed as a code.

*Datatype:* "ClosurePendingStatusReason1Code" on page 2425

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

##### 65.1.46.7.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the closure pending status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.46.7.2.2 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the reason for the closure pending status.*Datatype:* "Max350Text" on page 2536**65.1.46.8 ClosedStatusReason1Choice***Definition:* Choice of formats for a closed status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2193
Or}	Reason <Rsn>	[1..*]			2193
	Code <Cd>	[1..1]			2193
{Or	Code <Cd>	[1..1]	CodeSet		2194
Or}	Proprietary <Prtry>	[1..1]	±		2194
	AdditionalInformation <AddtlInf>	[0..1]	Text		2194

**65.1.46.8.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* There is no reason available or to report for the closed account status.*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

**65.1.46.8.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the closed account status.**Reason <Rsn>** contains the following **ClosedStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2193
{Or	Code <Cd>	[1..1]	CodeSet		2194
Or}	Proprietary <Prtry>	[1..1]	±		2194
	AdditionalInformation <AddtlInf>	[0..1]	Text		2194

**65.1.46.8.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Reason for the closed account status.

**Code <Cd>** contains one of the following **ClosedStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2194
Or}	Proprietary <Prtry>	[1..1]	±		2194

#### 65.1.46.8.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the closed account status expressed as a code.

*Datatype:* "ClosedStatusReason1Code" on page 2425

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

#### 65.1.46.8.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the closed account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.8.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the closed account status.

*Datatype:* "Max350Text" on page 2536

#### 65.1.46.9 ProformaStatusReason1Choice

*Definition:* Choice of formats for a proforma status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2195
Or}	Reason <Rsn>	[1..*]			2195
	Code <Cd>	[1..1]			2195
{Or	Code <Cd>	[1..1]	CodeSet		2195
Or}	Proprietary <Prtry>	[1..1]	±		2196
	AdditionalInformation <AddtlInf>	[0..1]	Text		2196

#### 65.1.46.9.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the proforma account status.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.9.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the proforma account status.

**Reason <Rsn>** contains the following **ProformaStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2195
{Or	Code <Cd>	[1..1]	CodeSet		2195
Or}	Proprietary <Prtry>	[1..1]	±		2196
	AdditionalInformation <AddtlInf>	[0..1]	Text		2196

#### 65.1.46.9.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the proforma account status.

**Code <Cd>** contains one of the following **ProformaStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2195
Or}	Proprietary <Prtry>	[1..1]	±		2196

#### 65.1.46.9.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a code.

*Datatype:* "ProformaStatusReason1Code" on page 2481

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

#### 65.1.46.9.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.9.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the proforma account status.

*Datatype:* "Max350Text" on page 2536

### 65.1.46.10 PendingOpeningStatusReason1Choice

*Definition:* Choice of formats for a pending account opening status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2196
Or}	Reason <Rsn>	[1..*]			2197
	Code <Cd>	[1..1]			2197
{Or	Code <Cd>	[1..1]	CodeSet		2197
Or}	Proprietary <Prtry>	[1..1]	±		2198
	AdditionalInformation <AddtlInf>	[0..1]	Text		2198

#### 65.1.46.10.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the pending account opening status.

*Datatype:* "NoReasonCode" on page 2468



CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.10.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending account opening status.

**Reason <Rsn>** contains the following **PendingOpeningStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2197
{Or	Code <Cd>	[1..1]	CodeSet		2197
Or}	Proprietary <Prtry>	[1..1]	±		2198
	AdditionalInformation <AddtlInf>	[0..1]	Text		2198

#### 65.1.46.10.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account opening status.

**Code <Cd>** contains one of the following **PendingOpeningStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2197
Or}	Proprietary <Prtry>	[1..1]	±		2198

#### 65.1.46.10.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account opening status expressed as a code.

*Datatype:* "PendingOpeningStatusReason1Code" on page 2473

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

**65.1.46.10.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Reason for the pending account opening status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.46.10.2.2 AdditionalInformation <AddtlInf>***Presence:* [0..1]*Definition:* Additional information about the reason for the pending account opening status.*Datatype:* "[Max350Text](#)" on page 2536**65.1.46.11 DisabledStatusReason1Choice***Definition:* Choice of formats for a disabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2198
Or}	Reason <Rsn>	[1..*]			2198
	Code <Cd>	[1..1]			2199
{Or	Code <Cd>	[1..1]	CodeSet		2199
Or}	Proprietary <Prtry>	[1..1]	±		2199
	AdditionalInformation <AddtlInf>	[0..1]	Text		2200

**65.1.46.11.1 NoSpecifiedReason <NoSpcfdRsn>***Presence:* [1..1]*Definition:* There is no reason available or to report for the disabled account status.*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

**65.1.46.11.2 Reason <Rsn>***Presence:* [1..\*]*Definition:* Reason for the disabled account status.

**Reason <Rsn>** contains the following **DisabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2199
{Or	Code <Cd>	[1..1]	CodeSet		2199
Or}	Proprietary <Prtry>	[1..1]	±		2199
	AdditionalInformation <AddtlInf>	[0..1]	Text		2200

#### 65.1.46.11.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status.

**Code <Cd>** contains one of the following **DisabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2199
Or}	Proprietary <Prtry>	[1..1]	±		2199

#### 65.1.46.11.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status expressed as a code.

*Datatype:* "DisabledReason2Code" on page 2435

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

#### 65.1.46.11.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the disabled account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.11.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the disabled account status.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.12 EnabledStatusReason1Choice

*Definition:* Choice of formats for an enabled status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2200
Or}	Reason <Rsn>	[1..*]			2200
	Code <Cd>	[1..1]			2201
{Or	Code <Cd>	[1..1]	CodeSet		2201
Or}	Proprietary <Prtry>	[1..1]	±		2201
	AdditionalInformation <AddtlInf>	[0..1]	Text		2201

#### 65.1.46.12.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the enabled account status.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.12.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the enabled account status.

**Reason <Rsn>** contains the following **EnabledStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			2201
{Or	Code <Cd>	[1..1]	CodeSet		2201
Or}	Proprietary <Prtry>	[1..1]	±		2201
	AdditionalInformation <AddtlInf>	[0..1]	Text		2201

#### 65.1.46.12.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status.

**Code <Cd>** contains one of the following **EnabledStatusReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2201
Or}	Proprietary <Prtry>	[1..1]	±		2201

#### 65.1.46.12.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a code.

*Datatype:* "EnabledStatusReason1Code" on page 2436

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.

#### 65.1.46.12.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the enabled account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.12.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the enabled account status.

*Datatype:* "Max350Text" on page 2536

### 65.1.46.13 PendingStatusReason14

*Definition:* Reason for a pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2202
	AdditionalInformation <AddtlInf>	[0..1]	Text		2202

#### 65.1.46.13.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account status.

**Code <Cd>** contains one of the following elements (see ["PendingStatusReason2Choice"](#) on page 2202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2202
Or}	Proprietary <Prtry>	[1..1]	±		2203

#### 65.1.46.13.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the pending account status.

*Datatype:* ["Max350Text"](#) on page 2536

### 65.1.46.14 PendingStatusReason2Choice

*Definition:* Choice of formats for pending reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2202
Or}	Proprietary <Prtry>	[1..1]	±		2203

#### 65.1.46.14.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the pending account status expressed as a code.

*Datatype:* ["PendingStatusReason1Code"](#) on page 2475

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.

CodeName	Name	Definition
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

#### 65.1.46.14.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the pending account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.15 PendingStatusReason1Choice

*Definition:* Choice of formats for a pending status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2203
Or}	Reason <Rsn>	[1..*]	±		2203

##### 65.1.46.15.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the pending account status.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

##### 65.1.46.15.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending account status.

**Reason <Rsn>** contains the following elements (see "PendingStatusReason14" on page 2202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		2202
	AdditionalInformation <AddtlInf>	[0..1]	Text		2202

### 65.1.46.16 OrderStatusAndReason10

*Definition:* Status report of a bulk or multiple or switch order that was previously received.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2204
	OrderStatus <OrdrSts>	[1..1]			2204
{Or	Status <Sts>	[1..1]	CodeSet		2205
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2205
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2206
Or	Rejected <Rjctd>	[1..10]	±	C18	2206
Or	Suspended <Sspd>	[1..1]	±		2207
Or}	PartiallySettled <PrtySttld>	[1..1]	±		2207
	StatusInitiator <StsInitr>	[0..1]	±		2208

#### 65.1.46.16.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.16.2 OrderStatus <OrdrSts>

*Presence:* [1..1]

*Definition:* Status of a 'bulk' of orders. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.



**OrderStatus <OrdrSts>** contains one of the following **OrderStatus3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2205
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2205
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2206
Or	Rejected <Rjctd>	[1..10]	±	C18	2206
Or	Suspended <Sspd>	[1..1]	±		2207
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2207

#### 65.1.46.16.2.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message. There is no reason attached.

*Datatype:* "OrderStatus4Code" on page 2470

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 65.1.46.16.2.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is cancelled. This status is used for orders that have been accepted or that have been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2260 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2261
{Or	Code <Cd>	[1..1]	CodeSet		2261
Or	Proprietary <Prtry>	[1..1]	±		2261
Or}	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2262
	AdditionalInformation <AddtlInf>	[0..1]	Text		2262

#### Constraints

- **AdditionalInformationRule**

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 65.1.46.16.2.3 ConditionallyAccepted <CondlyAccptd>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is conditionally accepted.

**ConditionallyAccepted <CondlyAccptd>** contains one of the following elements (see "ConditionallyAcceptedStatus3Choice" on page 2258 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		2258
Or}	ReasonDetails <RsnDtls>	[1..5]			2259
	Reason <Rsn>	[1..1]			2259
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260
	AdditionalInformation <AddtlInf>	[0..1]	Text		2260

#### 65.1.46.16.2.4 Rejected <Rjctd>

*Presence:* [1..10]

*Definition:* Status of all the orders in the order message is rejected. This status is used for orders that have not been accepted or entered in an order book.

*Impacted by:* C18 "RejectedElementRule"

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2255 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2255
{Or	Code <Cd>	[1..1]	CodeSet		2255
Or}	Proprietary <Prtry>	[1..1]	±		2258
	AdditionalInformation <AddtlInf>	[0..1]	Text		2258

#### Constraints

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 65.1.46.16.2.5 Suspended <Sspd>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2253
Or}	ReasonDetails <RsnDtls>	[1..5]			2253
	Reason <Rsn>	[1..1]			2254
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254
	AdditionalInformation <AddtlInf>	[0..1]	Text		2254

#### 65.1.46.16.2.6 PartiallySettled <PrtlySttld>

*Presence:* [1..1]

*Definition:* Status of all the orders in the order message is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "[PartiallySettledStatus10](#)" on page 2250 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2250
{Or	Code <Cd>	[1..1]	CodeSet		2250
Or}	Proprietary <Prtry>	[1..1]	±		2251
	AdditionalInformation <AddtlInf>	[0..1]	Text		2251

**65.1.46.16.3 StatusInitiator <StsInitr>**

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <StsInitr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.46.17 CancellationStatus22Choice**

*Definition:* Status is cancelled.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2208
Or}	Rejected <Rjctd>	[1..1]	±	C8	2208

**65.1.46.17.1 Status <Sts>**

*Presence:* [1..1]

*Definition:* Status of the order cancellation request is cancelled.

*Datatype:* "[OrderCancellationStatus2Code](#)" on page 2469

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

**65.1.46.17.2 Rejected <Rjctd>**

*Presence:* [1..1]

*Definition:* Status of the order cancellation request is rejected.

*Impacted by:* [C8 "ReasonElementRule"](#)

**Rejected <Rjctd>** contains the following elements (see "RejectedStatus10" on page 2248 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2249
{Or	Code <Cd>	[1..1]	CodeSet		2249
Or}	Proprietary <Prtry>	[1..1]	±		2249
	AdditionalInformation <AddtlInf>	[0..1]	Text		2250

#### Constraints

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

### 65.1.46.18 Status26Choice

*Definition:* Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	CancellationStatusReport <CxIStsRpt>	[1..1]			2209
	MasterReference <MstrRef>	[0..1]	Text		2210
	CancellationStatus <CxISts>	[1..1]	±		2210
	StatusInitiator <StsInitr>	[0..1]	±		2210
Or}	IndividualCancellationStatusReport <IndvCxIStsRpt>	[1..*]			2210
	MasterReference <MstrRef>	[0..1]	Text		2211
	OrderReference <OrdRef>	[1..1]	Text		2211
	ClientReference <CIntRef>	[0..1]	Text		2211
	CancellationReference <CxIRef>	[0..1]	Text		2211
	CancellationStatus <CxISts>	[1..1]	±		2211
	StatusInitiator <StsInitr>	[0..1]	±		2212
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2212
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2212

#### 65.1.46.18.1 CancellationStatusReport <CxIStsRpt>

*Presence:* [1..1]

*Definition:* Status report details of a bulk or multiple or switch order cancellation message.

**CancellationStatusReport <CxIStsRpt>** contains the following **OrderStatusAndReason9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2210
	CancellationStatus <CxISts>	[1..1]	±		2210
	StatusInitiator <StsInitr>	[0..1]	±		2210

#### 65.1.46.18.1.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.18.1.2 CancellationStatus <CxISts>

*Presence:* [1..1]

*Definition:* Cancellation status of the order cancellation.

**CancellationStatus <CxISts>** contains one of the following elements (see "CancellationStatus22Choice" on page 2208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2208
Or}	Rejected <Rjctd>	[1..1]	±	C8	2208

#### 65.1.46.18.1.3 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order cancellation.

**StatusInitiator <StsInitr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.46.18.2 IndividualCancellationStatusReport <IndvCxIStsRpt>

*Presence:* [1..\*]

*Definition:* Status report details of one or more individual orders from a bulk or multiple or switch order cancellation request.

**IndividualCancellationStatusReport <IndvCxlStsRpt>** contains the following **IndividualOrderStatusAndReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2211
	OrderReference <OrdRef>	[1..1]	Text		2211
	ClientReference <CIntRef>	[0..1]	Text		2211
	CancellationReference <CxlRef>	[0..1]	Text		2211
	CancellationStatus <CxlSts>	[1..1]	±		2211
	StatusInitiator <StsIntr>	[0..1]	±		2212
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2212
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2212

#### 65.1.46.18.2.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.18.2.2 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.18.2.3 ClientReference <CIntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.18.2.4 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.18.2.5 CancellationStatus <CxlSts>

*Presence:* [1..1]

*Definition:* Cancellation status of the order cancellation.

**CancellationStatus <CxISts>** contains one of the following elements (see "CancellationStatus22Choice" on page 2208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2208
Or}	Rejected <Rjctd>	[1..1]	±	C8	2208

#### 65.1.46.18.2.6 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the individual order cancellation.

**StatusInitiator <StsInitr>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.46.18.2.7 InvestmentAccountDetails <InvstmtAcctDtls>

*Presence:* [0..1]

*Definition:* Account information of the individual order cancellation for which the status is given.

*Impacted by:* C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 65.1.46.18.2.8 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]



*Definition:* Financial instrument information of the individual order cancellation for which the status is given.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

### 65.1.46.19 Status25Choice

*Definition:* Choice of formats for the specification of the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2213
Or}	Rejected <Rjctd>	[1..10]	±		2214

#### 65.1.46.19.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status code.

*Datatype:* "AccountManagementStatus1Code" on page 2412

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.

CodeName	Name	Definition
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.

### 65.1.46.19.2 Rejected <Rjctd>

*Presence:* [1..10]

*Definition:* Status of the account management instruction is rejected.

**Rejected <Rjctd>** contains the following elements (see "RejectionReason31" on page 2240 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2240
{Or	Code <Cd>	[1..1]	CodeSet		2240
Or}	Proprietary <Prtry>	[1..1]	±		2240
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2241

### 65.1.46.20 Status24Choice

*Definition:* Choice of status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrderDetailsReport <OrdDrDtlsRpt>	[1..1]	±		2216
Or	IndividualOrderDetailsReport <IndvOrdDrDtlsRpt>	[1..*]			2217
	MasterReference <MstrRef>	[0..1]	Text		2217
	OrderReference <OrdRef>	[1..1]	Text		2217
	ClientReference <CIntRef>	[0..1]	Text		2218
	DealReference <DealRef>	[0..1]	Text		2218
	CancellationReference <CxlRef>	[0..1]	Text		2218
	OrderStatus <OrdRSts>	[1..1]			2218
{Or	Status <Sts>	[1..1]	CodeSet		2218
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2219
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2220
Or	Rejected <Rjctd>	[1..10]	±	C18	2220
Or	Suspended <Sspd>	[1..1]	±		2221
Or	InRepair <InRpr>	[1..1]	±		2221
Or}	PartiallySettled <PrtyStltd>	[1..1]	±		2221
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2222
	StatusInitiator <StsIntr>	[0..1]	±		2223
	OrderData <OrdRData>	[0..1]	±	C15	2223
	NewDetails <NewDtls>	[0..1]	±	C10	2224
	GatingOrHoldBackDetails <GtgOrHldBckDtls>	[0..1]	±		2224
Or}	SwitchOrderDetailsReport <SwchOrdDrDtlsRpt>	[1..*]			2224
	MasterReference <MstrRef>	[0..1]	Text		2225
	OrderReference <OrdRef>	[1..1]	Text		2225
	ClientReference <CIntRef>	[0..1]	Text		2226
	DealReference <DealRef>	[0..1]	Text		2226
	CancellationReference <CxlRef>	[0..1]	Text		2226
	OrderStatus <OrdRSts>	[1..1]			2226
{Or	Status <Sts>	[1..1]	CodeSet		2226
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2227
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2228
Or	Rejected <Rjctd>	[1..10]	±	C18	2228

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	Suspended <Sspd>	[1..1]	±		2228
Or	InRepair <InRpr>	[1..1]	±		2229
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2229
	LegInformation <LegInf>	[0..*]			2230
	LegIdentification <LegId>	[1..1]			2230
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2230
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2230
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2230
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2230
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2231
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2232
	StatusInitiator <StsInitr>	[0..1]	±		2233
	OrderData <OrdrData>	[0..1]	±	C20	2233
	NewDetails <NewDtls>	[0..1]	±		2233

#### 65.1.46.20.1 OrderDetailsReport <OrdrDtlsRpt>

*Presence:* [1..1]

*Definition:* Status report details of all the individual orders conveyed in a bulk or multiple order message. Can be used if all the individual orders conveyed in a bulk or multiple order message have the same status.

**OrderDetailsReport <OrdrDtlsRpt>** contains the following elements (see "[OrderStatusAndReason10](#)" on page 2204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2204
	OrderStatus <OrdrSts>	[1..1]			2204
{Or	Status <Sts>	[1..1]	CodeSet		2205
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2205
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2206
Or	Rejected <Rjctd>	[1..10]	±	C18	2206
Or	Suspended <Sspd>	[1..1]	±		2207
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2207
	StatusInitiator <StsInitr>	[0..1]	±		2208

### 65.1.46.20.2 IndividualOrderDetailsReport <IndvOrdrDtIsRpt>

*Presence:* [1..\*]

*Definition:* Status report details of an individual order.

**IndividualOrderDetailsReport <IndvOrdrDtIsRpt>** contains the following **IndividualOrderStatusAndReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2217
	OrderReference <OrdrRef>	[1..1]	Text		2217
	ClientReference <ClntRef>	[0..1]	Text		2218
	DealReference <DealRef>	[0..1]	Text		2218
	CancellationReference <CxIRef>	[0..1]	Text		2218
	OrderStatus <OrdrSts>	[1..1]			2218
{Or	Status <Sts>	[1..1]	CodeSet		2218
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2219
Or	ConditionallyAccepted <CondlyAcptd>	[1..1]	±		2220
Or	Rejected <Rjctd>	[1..10]	±	C18	2220
Or	Suspended <Sspd>	[1..1]	±		2221
Or	InRepair <InRpr>	[1..1]	±		2221
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2221
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2222
	StatusInitiator <StsInitr>	[0..1]	±		2223
	OrderData <OrdrData>	[0..1]	±	C15	2223
	NewDetails <NewDtIs>	[0..1]	±	C10	2224
	GatingOrHoldBackDetails <GtgOrHldBckDtIs>	[0..1]	±		2224

#### 65.1.46.20.2.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.2.2 OrderReference <OrdrRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

**65.1.46.20.2.3 ClientReference <ClntRef>***Presence:* [0..1]*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.*Datatype:* "Max35Text" on page 2536**65.1.46.20.2.4 DealReference <DealRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.*Datatype:* "Max35Text" on page 2536**65.1.46.20.2.5 CancellationReference <CxlRef>***Presence:* [0..1]*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.*Datatype:* "Max35Text" on page 2536**65.1.46.20.2.6 OrderStatus <OrdrSts>***Presence:* [1..1]*Definition:* Status of the individual order.**OrderStatus <OrdrSts>** contains one of the following **OrderStatus5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2218
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2219
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2220
Or	Rejected <Rjctd>	[1..10]	±	C18	2220
Or	Suspended <Sspd>	[1..1]	±		2221
Or	InRepair <InRpr>	[1..1]	±		2221
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2221

**65.1.46.20.2.6.1 Status <Sts>***Presence:* [1..1]*Definition:* Status of the individual order is accepted or already executed or sent to next party or received. There is no reason attached.*Datatype:* "OrderStatus4Code" on page 2470

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).

CodeName	Name	Definition
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 65.1.46.20.2.6.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the individual order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2260 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2261
{Or	Code <Cd>	[1..1]	CodeSet		2261
Or	Proprietary <Prtry>	[1..1]	±		2261
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2262
	AdditionalInformation <AddtlInf>	[0..1]	Text		2262

**Constraints**

- **AdditionalInformationRule**

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.20.2.6.3 ConditionallyAccepted <CondlyAccptd>**

*Presence:* [1..1]

*Definition:* Status of the individual order is conditionally accepted.

**ConditionallyAccepted <CondlyAccptd>** contains one of the following elements (see "[ConditionallyAcceptedStatus3Choice](#)" on page 2258 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2258
Or}	ReasonDetails <RsnDtls>	[1..5]			2259
	Reason <Rsn>	[1..1]			2259
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260
	AdditionalInformation <AddtlInf>	[0..1]	Text		2260

**65.1.46.20.2.6.4 Rejected <Rjctd>**

*Presence:* [1..10]

*Definition:* Status of the individual order is rejected. This status is used for an order that has not been accepted or entered in an order book.

*Impacted by:* [C18 "RejectedElementRule"](#)

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2255 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2255
{Or	Code <Cd>	[1..1]	CodeSet		2255
Or}	Proprietary <Prtry>	[1..1]	±		2258
	AdditionalInformation <AddtlInf>	[0..1]	Text		2258



**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.20.2.6.5 Suspended <Sspd>**

*Presence:* [1..1]

*Definition:* Status of the individual order is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2253
Or}	ReasonDetails <RsnDtls>	[1..5]			2253
	Reason <Rsn>	[1..1]			2254
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254
	AdditionalInformation <AddtlInf>	[0..1]	Text		2254

**65.1.46.20.2.6.6 InRepair <InRpr>**

*Presence:* [1..1]

*Definition:* Status of the individual order is in repair.

**InRepair <InRpr>** contains one of the following elements (see "[InRepairStatusReason4Choice](#)" on page 2251 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2251
Or}	ReasonDetails <RsnDtls>	[1..5]			2252
	Reason <Rsn>	[1..1]			2252
{Or	Code <Cd>	[1..1]	CodeSet		2252
Or}	Proprietary <Prtry>	[1..1]	±		2252
	AdditionalInformation <AddtlInf>	[0..1]	Text		2253

**65.1.46.20.2.6.7 PartiallySettled <PrtlySttld>**

*Presence:* [1..1]

*Definition:* Status of the individual order is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "PartiallySettledStatus10" on page 2250 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2250
{Or	Code <Cd>	[1..1]	CodeSet		2250
Or}	Proprietary <Prtry>	[1..1]	±		2251
	AdditionalInformation <AddtlInf>	[0..1]	Text		2251

#### 65.1.46.20.2.7 RepairedFee <RprdFee>

*Presence:* [0..10]

*Definition:* Elements from the original individual order that have been repaired so that the order can be accepted.

*Impacted by:* C6 "CommercialAgreementRule", C12 "FeeElementRule"

**RepairedFee <RprdFee>** contains the following elements (see "Fee3" on page 1109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1110
{Or	Code <Cd>	[1..1]	CodeSet		1110
Or}	Proprietary <Prtry>	[1..1]	±		1111
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1111
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1112
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1112
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1112
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1112
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1113
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1113
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1113

#### Constraints

- **CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True  
 /NewCommercialAgreementReferenceIndicator Must be present

- **FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

#### 65.1.46.20.2.8 StatusInitiator <StsInitr>

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <StsInitr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.46.20.2.9 OrderData <OrdrData>

*Presence:* [0..1]

*Definition:* Order data.

*Impacted by:* C15 "[OrderDataElementRule](#)"

**OrderData <OrdrData>** contains the following elements (see "[FundOrderData5](#)" on page 1644 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	1645
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	1646
	UnitsNumber <UnitsNb>	[0..1]	Quantity		1646
	NetAmount <NetAmt>	[0..1]	Amount	C3, C12	1646
	GrossAmount <GrssAmt>	[0..1]	Amount	C3, C12	1647
	HoldingsRedemptionRate <HldgsRedRate>	[0..1]	Rate		1648
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1648
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	1648
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	1648

**Constraints**

- **OrderDataElementRule**

One of the elements (InvestmentAccountDetails, FinancialInstrumentDetails, UnitsNumber, NetAmount, GrossAmount, HoldingsRedemptionRate, SettlementAmount, UnitCurrency, QuotedCurrency) must be present.

**65.1.46.20.2.10 NewDetails <NewDtls>**

*Presence:* [0..1]

*Definition:* Expected execution information.

*Impacted by:* C10 "DateElementRule"

**NewDetails <NewDtls>** contains the following elements (see ["ExpectedExecutionDetails4"](#) on page 1644 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1644
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1644

**Constraints**

- **DateElementRule**

Either ExpectedTradeDateTime or ExpectedCashSettlementDate must be present. Both may be present.

**65.1.46.20.2.11 GatingOrHoldBackDetails <GtgOrHldBckDtls>**

*Presence:* [0..1]

*Definition:* Information about gating and hold back of redemption proceeds.

**GatingOrHoldBackDetails <GtgOrHldBckDtls>** contains the following elements (see ["HoldBackInformation3"](#) on page 1636 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		1636
	Amount <Amt>	[0..1]	Amount	C2, C10	1636
	ExpectedReleaseDate <XpctdRlsDt>	[0..1]	Date		1637
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±		1637
	FinancialInstrumentName <FinInstrmNm>	[0..1]	Text		1638
	RedemptionCompletion <RedCmpltn>	[0..1]	CodeSet		1638

**65.1.46.20.3 SwitchOrderDetailsReport <SwchOrdrDtlsRpt>**

*Presence:* [1..\*]

*Definition:* Status report details of a switch order.

**SwitchOrderDetailsReport <SwchOrdRdtlsRpt>** contains the following **SwitchOrderStatusAndReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MasterReference <MstrRef>	[0..1]	Text		2225
	OrderReference <OrdRef>	[1..1]	Text		2225
	ClientReference <ClntRef>	[0..1]	Text		2226
	DealReference <DealRef>	[0..1]	Text		2226
	CancellationReference <CxlRef>	[0..1]	Text		2226
	OrderStatus <OrdRSts>	[1..1]			2226
{Or	Status <Sts>	[1..1]	CodeSet		2226
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2227
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2228
Or	Rejected <Rjctd>	[1..10]	±	C18	2228
Or	Suspended <Sspd>	[1..1]	±		2228
Or	InRepair <InRpr>	[1..1]	±		2229
Or}	PartiallySettled <PrtySttld>	[1..1]	±		2229
	LegInformation <LegInf>	[0..*]			2230
	LegIdentification <LegId>	[1..1]			2230
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2230
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2230
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2230
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2230
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2231
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2232
	StatusInitiator <StsIntr>	[0..1]	±		2233
	OrderData <OrdRData>	[0..1]	±	C20	2233
	NewDetails <NewDtls>	[0..1]	±		2233

#### 65.1.46.20.3.1 MasterReference <MstrRef>

*Presence:* [0..1]

*Definition:* Reference assigned to a set of orders or trades in order to link them together.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.3.2 OrderReference <OrdRef>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the order, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.3.3 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the order. This reference can typically be used in a hub scenario to give the reference of the order as assigned by the underlying client.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.3.4 DealReference <DealRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.3.5 CancellationReference <CxlRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identifier for the order cancellation, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

#### 65.1.46.20.3.6 OrderStatus <OrdrSts>

*Presence:* [1..1]

*Definition:* Status of the switch order.

**OrderStatus <OrdrSts>** contains one of the following **OrderStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Status <Sts>	[1..1]	CodeSet		2226
Or	Cancelled <Canc>	[1..1]	±	C3, C5	2227
Or	ConditionallyAccepted <CondlyAccptd>	[1..1]	±		2228
Or	Rejected <Rjctd>	[1..10]	±	C18	2228
Or	Suspended <Sspd>	[1..1]	±		2228
Or	InRepair <InRpr>	[1..1]	±		2229
Or}	PartiallySettled <PrtlySttld>	[1..1]	±		2229

##### 65.1.46.20.3.6.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the switch order is accepted or already executed or sent to next party or received. There is no reason attached.

*Datatype:* "OrderStatus4Code" on page 2470

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

#### 65.1.46.20.3.6.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Status of the switch order is cancelled. This status is used for an order that has been accepted or that has been entered in an order book but that can not be executed.

*Impacted by:* C3 "AdditionalInformationRule", C5 "CancelledElementRule"

**Cancelled <Canc>** contains the following elements (see "CancelledStatusReason16" on page 2260 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2261
{Or	Code <Cd>	[1..1]	CodeSet		2261
Or	Proprietary <Prtry>	[1..1]	±		2261
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2262
	AdditionalInformation <AddtlInf>	[0..1]	Text		2262

**Constraints**

- **AdditionalInformationRule**

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.20.3.6.3 ConditionallyAccepted <CondlyAcptd>**

*Presence:* [1..1]

*Definition:* Status of the switch order is conditionally accepted.

**ConditionallyAccepted <CondlyAcptd>** contains one of the following elements (see "[ConditionallyAcceptedStatus3Choice](#)" on page 2258 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2258
Or}	ReasonDetails <RsnDtls>	[1..5]			2259
	Reason <Rsn>	[1..1]			2259
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260
	AdditionalInformation <AddtlInf>	[0..1]	Text		2260

**65.1.46.20.3.6.4 Rejected <Rjctd>**

*Presence:* [1..10]

*Definition:* Status of the switch order is rejected.

*Impacted by:* C18 "RejectedElementRule"

**Rejected <Rjctd>** contains the following elements (see "[RejectedStatus9](#)" on page 2255 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2255
{Or	Code <Cd>	[1..1]	CodeSet		2255
Or}	Proprietary <Prtry>	[1..1]	±		2258
	AdditionalInformation <AddtlInf>	[0..1]	Text		2258

**Constraints**

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.20.3.6.5 Suspended <Sspd>**

*Presence:* [1..1]



*Definition:* Status of the switch order is suspended.

**Suspended <Sspd>** contains one of the following elements (see "[SuspendedStatusReason4Choice](#)" on page 2253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2253
Or}	ReasonDetails <RsnDtls>	[1..5]			2253
	Reason <Rsn>	[1..1]			2254
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254
	AdditionalInformation <AddtlInf>	[0..1]	Text		2254

#### 65.1.46.20.3.6.6 InRepair <InRpr>

*Presence:* [1..1]

*Definition:* Status of the switch order is in repair.

**InRepair <InRpr>** contains one of the following elements (see "[InRepairStatusReason4Choice](#)" on page 2251 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2251
Or}	ReasonDetails <RsnDtls>	[1..5]			2252
	Reason <Rsn>	[1..1]			2252
{Or	Code <Cd>	[1..1]	CodeSet		2252
Or}	Proprietary <Prtry>	[1..1]	±		2252
	AdditionalInformation <AddtlInf>	[0..1]	Text		2253

#### 65.1.46.20.3.6.7 PartiallySettled <PrtlySttld>

*Presence:* [1..1]

*Definition:* Status of the switch order is partially settled.

**PartiallySettled <PrtlySttld>** contains the following elements (see "[PartiallySettledStatus10](#)" on page 2250 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2250
{Or	Code <Cd>	[1..1]	CodeSet		2250
Or}	Proprietary <Prtry>	[1..1]	±		2251
	AdditionalInformation <AddtlInf>	[0..1]	Text		2251

**65.1.46.20.3.7 LegInformation <LegInf>***Presence:* [0..\*]*Definition:* Information about a switch leg that is rejected or repaired.**LegInformation <LegInf>** contains the following **SwitchLegReferences2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegIdentification <LegId>	[1..1]			2230
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2230
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2230
	LegRejectionReason <LegRjctnRsn>	[0..1]	Text		2230
	RepairedFee <RprdFee>	[0..10]	±	C6, C12	2230
	InvestmentAccountDetails <InvstmtAcctDtls>	[0..1]	±	C20	2231
	FinancialInstrumentDetails <FinInstrmDtls>	[0..1]	±	C17	2232

**65.1.46.20.3.7.1 LegIdentification <LegId>***Presence:* [1..1]*Definition:* Identification of a switch leg.**LegIdentification <LegId>** contains one of the following **LegIdentification1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	RedemptionLegIdentification <RedLegId>	[1..1]	Text		2230
Or}	SubscriptionLegIdentification <SbcptLegId>	[1..1]	Text		2230

**65.1.46.20.3.7.1.1 RedemptionLegIdentification <RedLegId>***Presence:* [1..1]*Definition:* Unique technical identifier for the instance of the leg within a switch.*Datatype:* "Max35Text" on page 2536**65.1.46.20.3.7.1.2 SubscriptionLegIdentification <SbcptLegId>***Presence:* [1..1]*Definition:* Unique technical identifier for the instance of the leg within a switch.*Datatype:* "Max35Text" on page 2536**65.1.46.20.3.7.2 LegRejectionReason <LegRjctnRsn>***Presence:* [0..1]*Definition:* Additional information about the reason for the rejection of the leg.*Datatype:* "Max350Text" on page 2536**65.1.46.20.3.7.3 RepairedFee <RprdFee>***Presence:* [0..10]

**Definition:** Elements from the original individual order that have been repaired so that the order can be accepted.

**Impacted by:** C6 "CommercialAgreementRule", C12 "FeeElementRule"

**RepairedFee <RprdFee>** contains the following elements (see "Fee3" on page 1109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[0..1]			1110
{Or	Code <Cd>	[1..1]	CodeSet		1110
Or}	Proprietary <Prtry>	[1..1]	±		1111
	RepairedStandardAmount <RprdStdAmt>	[0..1]	Amount	C2, C10	1111
	RepairedStandardRate <RprdStdRate>	[0..1]	Rate		1112
	RepairedDiscountAmount <RprdDscntAmt>	[0..1]	Amount	C2, C10	1112
	RepairedDiscountRate <RprdDscntRate>	[0..1]	Rate		1112
	RepairedRequestedAmount <RprdReqdAmt>	[0..1]	Amount	C2, C10	1112
	RepairedRequestedRate <RprdReqdRate>	[0..1]	Rate		1113
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1113
	NewCommercialAgreementReferenceIndicator <NewComrcAgrmtRefInd>	[0..1]	Indicator		1113

#### Constraints

- CommercialAgreementRule**

If CommercialAgreementReference is present, then NewCommercialAgreementReferenceIndicator must be present too.

On Condition

/CommercialAgreementReference is present

Following Must be True

/NewCommercialAgreementReferenceIndicator Must be present

- FeeElementRule**

One of the elements (Type, RepairedStandardAmount, RepairedStandardRate, RepairedDiscountAmount, RepairedDiscountRate, RepairedRequestedAmount, RepairedRequestedRate, CommercialAgreementReference, NewCommercialAgreementReferenceIndicator) must be present.

#### 65.1.46.20.3.7.4 InvestmentAccountDetails <InvstmtAcctDtls>

**Presence:** [0..1]

**Definition:** Account identification of the switch leg that is rejected or repaired.

**Impacted by:** C20 "OrderOriginatorEligibility2Rule"

**InvestmentAccountDetails <InvstmtAcctDtls>** contains the following elements (see "InvestmentAccount58" on page 1490 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountIdentification <AcctId>	[1..1]	Text		1490
	AccountName <AcctNm>	[0..1]	Text		1490
	AccountDesignation <AcctDsgnt>	[0..1]	Text		1490
	OwnerIdentification <OwnrId>	[0..*]	±		1490
	AccountServicer <AcctSvcr>	[0..1]	±		1491
	OrderOriginatorEligibility <OrdrgtrElgblty>	[0..1]	CodeSet		1491
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1491

#### Constraints

- **OrderOriginatorEligibility2Rule**

OrderOriginatorEligibility may only be present if one or more of the parties identified in OwnerIdentification is/are the originator of the order.

#### 65.1.46.20.3.7.5 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [0..1]

*Definition:* Financial instrument identification of the switch leg that is rejected or repaired.

*Impacted by:* C17 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument57" on page 1294 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1294
	Name <Nm>	[0..1]	Text		1295
	ShortName <ShrtNm>	[0..1]	Text		1295
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1295
	ClassType <ClsTp>	[0..1]	Text		1296
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1296
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1296
	ProductGroup <PdctGrp>	[0..1]	Text		1296
	SeriesIdentification <SrsId>	[0..1]		C30	1296
	SeriesDate <SrsDt>	[0..1]	±		1297
	SeriesName <SrsNm>	[0..1]	Text		1297

**Constraints**

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

**65.1.46.20.3.8 StatusInitiator <Stslnitr>**

*Presence:* [0..1]

*Definition:* Party that initiates the status of the order.

**StatusInitiator <Stslnitr>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.46.20.3.9 OrderData <OrdrData>**

*Presence:* [0..1]

*Definition:* Order data.

*Impacted by:* [C20 "SwitchOrderDataElementRule"](#)

**OrderData <OrdrData>** contains the following elements (see "[FundOrderData6](#)" on page 1638 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	1638
	SettlementMethod <SttlmMtd>	[0..1]	CodeSet		1639
	AdditionalAmount <AddtlAmt>	[0..1]	±		1639
	UnitCurrency <UnitCcy>	[0..1]	CodeSet	C2	1639
	QuotedCurrency <QtdCcy>	[0..1]	CodeSet	C2	1640

**Constraints**

- **SwitchOrderDataElementRule**

One of the elements (SettlementAmount, SettlementMethod, AdditionalAmount, UnitCurrency, QuotedCurrency) must be present.

**65.1.46.20.3.10 NewDetails <NewDtls>**

*Presence:* [0..1]

*Definition:* Expected execution information.

**NewDetails <NewDtIs>** contains the following elements (see "ExpectedExecutionDetails2" on page 1640 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExpectedTradeDateTime <XpctdTradDtTm>	[0..1]	±		1640
	ExpectedCashSettlementDate <XpctdCshSttlmDt>	[0..1]	Date		1640

### 65.1.46.21 CancellationReason31Choice

*Definition:* Choice of format for the cancellation reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2234
Or}	Proprietary <Prtry>	[1..1]	±		2235

#### 65.1.46.21.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Confirmation cancellation reason expressed as a code.

*Datatype:* "ConfirmationCancellationReason1Code" on page 2428

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.

CodeName	Name	Definition
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

#### 65.1.46.21.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Confirmation cancellation reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.22 ConfirmationRejectedStatus2

*Definition:* Rejection of a confirmation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2236
{Or	Code <Cd>	[1..1]	CodeSet		2236
Or}	Proprietary <Prtry>	[1..1]	±		2238
	AdditionalInformation <AddtlInf>	[0..1]	Text		2239

**Constraints**

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.22.1 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **ConfirmationRejectedReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2236
Or}	Proprietary <Prtry>	[1..1]	±		2238

**65.1.46.22.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Reason for the rejected status expressed as a code.

*Datatype:* "RejectedConfirmationStatusReason1Code" on page 2483

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.



CodeName	Name	Definition
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.

CodeName	Name	Definition
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

#### 65.1.46.22.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification1"](#) on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.22.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* ["Max350Text"](#) on page 2536

#### 65.1.46.23 AcceptedStatusReason1Choice

*Definition:* Choice of formats for an accepted status reason code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2239
Or}	Proprietary <Prtry>	[1..1]	±		2239

##### 65.1.46.23.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the status expressed as a code.

*Datatype:* ["AcceptedStatusReason1Code"](#) on page 2412

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

##### 65.1.46.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.24 RejectionReason31

*Definition:* Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2240
{Or	Code <Cd>	[1..1]	CodeSet		2240
Or}	Proprietary <Prtry>	[1..1]	±		2240
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2241

##### 65.1.46.24.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason16Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2240
Or}	Proprietary <Prtry>	[1..1]	±		2240

##### 65.1.46.24.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "[RejectedStatusReason6Code](#)" on page 2490

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

##### 65.1.46.24.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.24.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected status reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.25 AccountStatusUpdateInstruction1

*Definition:* Instruction for a change to an account status and reason for the change.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateInstruction <UpdInstr>	[1..1]			2241
{Or	Code <Cd>	[1..1]	CodeSet		2242
Or}	Proprietary <Prtry>	[1..1]	±		2242
	UpdateInstructionReason <UpdInstrRsn>	[0..1]			2242
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2242
Or}	Reason <Rsn>	[1..*]		C27	2243
	Code <Cd>	[0..1]			2243
{Or	Code <Cd>	[1..1]	CodeSet		2243
Or}	Proprietary <Prtry>	[1..1]	±		2243
	AdditionalInformation <AddtlInf>	[0..1]	Text		2244

##### 65.1.46.25.1 UpdateInstruction <UpdInstr>

*Presence:* [1..1]

*Definition:* Type of status change instructed for the account status.

**UpdateInstruction <UpdInstr>** contains one of the following **AccountStatusUpdateInstruction1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2242
Or}	Proprietary <Prtry>	[1..1]	±		2242

**65.1.46.25.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of change to the account status expressed as a code.*Datatype:* "AccountStatusUpdateInstruction1Code" on page 2416

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

**65.1.46.25.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of change to the account status expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.46.25.2 UpdateInstructionReason <UpdInstrRsn>***Presence:* [0..1]*Definition:* Reason for the instruction to change the account status.**UpdateInstructionReason <UpdInstrRsn>** contains one of the following **AccountStatusUpdateInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2242
Or}	Reason <Rsn>	[1..*]		C27	2243
	Code <Cd>	[0..1]			2243
{Or	Code <Cd>	[1..1]	CodeSet		2243
Or}	Proprietary <Prtry>	[1..1]	±		2243
	AdditionalInformation <AddtlInf>	[0..1]	Text		2244

**65.1.46.25.2.1 NoSpecifiedReason <NoSpctdRsn>***Presence:* [1..1]*Definition:* There is no reason available or to report for the instruction to change the account status.*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.25.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the instruction to change the account status.

*Impacted by:* [C27 "ReasonElementRule"](#)

**Reason <Rsn>** contains the following **AccountStatusUpdateInstructionReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[0..1]			2243
{Or	Code <Cd>	[1..1]	CodeSet		2243
Or}	Proprietary <Prtry>	[1..1]	±		2243
	AdditionalInformation <AddtlInf>	[0..1]	Text		2244

#### Constraints

- **ReasonElementRule**

Either Code or AdditionalInformation must be present. Both may be present.

#### 65.1.46.25.2.2.1 Code <Cd>

*Presence:* [0..1]

*Definition:* Reason for the instruction to change the account status.

**Code <Cd>** contains one of the following **AccountStatusUpdateInstructionReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2243
Or}	Proprietary <Prtry>	[1..1]	±		2243

#### 65.1.46.25.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason for the instruction to change the account status expressed as a code.

*Datatype:* ["AccountStatusUpdateRequestReason1Code"](#) on page 2416

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

#### 65.1.46.25.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason for the instruction to change the account status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.25.2.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the instruction to change the account status.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.26 AccountStatus2

*Definition:* Status of an account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Enabled <Nbld>	[0..1]	±		2245
	Disabled <Dsbl>	[0..1]	±		2246
	Pending <Pdg>	[0..1]	±		2246
	PendingOpening <PdgOpng>	[0..1]	±		2246
	Proforma <Profrm>	[0..1]	±		2247
	Closed <Clsd>	[0..1]	±		2247
	ClosurePending <ClsrPdg>	[0..1]	±		2248
	Other <Othr>	[0..*]	±		2248

#### Constraints

- **ClosedStatus1Rule**

If Closed is present then Enabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Enabled Must be absent
```

- **ClosedStatus2Rule**

If Closed is present then Disabled is not allowed.

```
On Condition
  /Closed is present
Following Must be True
  /Disabled Must be absent
```



- **ClosedStatus3Rule**

If Closed is present then Pending is not allowed.

```
On Condition
    /Closed is present
Following Must be True
    /Pending Must be absent
```

- **ClosedStatus4Rule**

If Closed is present then PendingOpening is not allowed.

```
On Condition
    /Closed is present
Following Must be True
    /PendingOpening Must be absent
```

- **ClosedStatus5Rule**

If Closed is present then Proforma is not allowed.

```
On Condition
    /Closed is present
Following Must be True
    /Proforma Must be absent
```

- **ClosedStatus6Rule**

If Closed is present then ClosurePending is not allowed.

```
On Condition
    /Closed is absent
Following Must be True
    /ClosurePending Must be absent
```

- **EnabledDisabledStatus1Rule**

If Enabled is present, then Disabled is not allowed.

```
On Condition
    /Enabled is present
Following Must be True
    /Disabled Must be absent
```

- **EnabledDisabledStatus2Rule**

If Disabled is present, then Enabled is not allowed.

```
On Condition
    /Disabled is present
Following Must be True
    /Enabled Must be absent
```

- **StatusElementRule**

One of the elements (Enabled, Disabled, Pending, PendingOpening, Proforma, Closed, ClosurePending, Other) must be present.

#### 65.1.46.26.1 Enabled <Nbld>

*Presence:* [0..1]

*Definition:* Account can be used for its intended purpose.

**Enabled <Nbld>** contains one of the following elements (see "[EnabledStatusReason1Choice](#)" on page 2200 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2200
Or}	Reason <Rsn>	[1..*]			2200
	Code <Cd>	[1..1]			2201
{Or	Code <Cd>	[1..1]	CodeSet		2201
Or}	Proprietary <Prtry>	[1..1]	±		2201
	AdditionalInformation <AddtlInf>	[0..1]	Text		2201

#### 65.1.46.26.2 Disabled <Dsbl>

*Presence:* [0..1]

*Definition:* Account cannot temporarily be used for its intended purpose.

**Disabled <Dsbl>** contains one of the following elements (see "[DisabledStatusReason1Choice](#)" on page 2198 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2198
Or}	Reason <Rsn>	[1..*]			2198
	Code <Cd>	[1..1]			2199
{Or	Code <Cd>	[1..1]	CodeSet		2199
Or}	Proprietary <Prtry>	[1..1]	±		2199
	AdditionalInformation <AddtlInf>	[0..1]	Text		2200

#### 65.1.46.26.3 Pending <Pdg>

*Presence:* [0..1]

*Definition:* Account change is pending approval.

**Pending <Pdg>** contains one of the following elements (see "[PendingStatusReason1Choice](#)" on page 2203 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2203
Or}	Reason <Rsn>	[1..*]	±		2203

#### 65.1.46.26.4 PendingOpening <PdgOpng>

*Presence:* [0..1]

*Definition:* Account opening is pending.

**PendingOpening <PdgOpng>** contains one of the following elements (see "PendingOpeningStatusReason1Choice" on page 2196 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2196
Or}	Reason <Rsn>	[1..*]			2197
	Code <Cd>	[1..1]			2197
{Or	Code <Cd>	[1..1]	CodeSet		2197
Or}	Proprietary <Prtry>	[1..1]	±		2198
	AdditionalInformation <AddtlInf>	[0..1]	Text		2198

#### 65.1.46.26.5 Proforma <Profrm>

*Presence:* [0..1]

*Definition:* Account is temporary and can be partially used for its intended purpose. The account will be fully available for use when the account servicer has received all relevant documents.

**Proforma <Profrm>** contains one of the following elements (see "ProformaStatusReason1Choice" on page 2194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2195
Or}	Reason <Rsn>	[1..*]			2195
	Code <Cd>	[1..1]			2195
{Or	Code <Cd>	[1..1]	CodeSet		2195
Or}	Proprietary <Prtry>	[1..1]	±		2196
	AdditionalInformation <AddtlInf>	[0..1]	Text		2196

#### 65.1.46.26.6 Closed <Clsd>

*Presence:* [0..1]

*Definition:* Account is closed.

**Closed <Clsd>** contains one of the following elements (see "[ClosedStatusReason1Choice](#)" on page 2193 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2193
Or}	Reason <Rsn>	[1..*]			2193
	Code <Cd>	[1..1]			2193
{Or	Code <Cd>	[1..1]	CodeSet		2194
Or}	Proprietary <Prtry>	[1..1]	±		2194
	AdditionalInformation <AddtlInf>	[0..1]	Text		2194

#### 65.1.46.26.7 ClosurePending <ClsrPdg>

*Presence:* [0..1]

*Definition:* Account closure is pending.

**ClosurePending <ClsrPdg>** contains one of the following elements (see "[ClosurePendingStatusReason1Choice](#)" on page 2191 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2191
Or}	Reason <Rsn>	[1..*]			2192
	Code <Cd>	[1..1]			2192
{Or	Code <Cd>	[1..1]	CodeSet		2192
Or}	Proprietary <Prtry>	[1..1]	±		2192
	AdditionalInformation <AddtlInf>	[0..1]	Text		2193

#### 65.1.46.26.8 Other <Othr>

*Presence:* [0..\*]

*Definition:* Status is a bilaterally agreed status.

**Other <Othr>** contains the following elements (see "[OtherAccountStatus1](#)" on page 2190 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Status <Sts>	[1..1]	±		2191
	Reason <Rsn>	[0..1]	±		2191

#### 65.1.46.27 RejectedStatus10

*Definition:* Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2249
{Or	Code <Cd>	[1..1]	CodeSet		2249
Or}	Proprietary <Prtry>	[1..1]	±		2249
	AdditionalInformation <AddtlInf>	[0..1]	Text		2250

**Constraints**

- **ReasonElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.27.1 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2249
Or}	Proprietary <Prtry>	[1..1]	±		2249

**65.1.46.27.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason8Code" on page 2490

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
LEGL	LegallyImpossible	Legally impossible to cancel.

**65.1.46.27.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.27.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.28 PartiallySettledStatus10

*Definition:* Reason for a partially settled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2250
{Or	Code <Cd>	[1..1]	CodeSet		2250
Or}	Proprietary <Prtry>	[1..1]	±		2251
	AdditionalInformation <AddtlInf>	[0..1]	Text		2251

##### 65.1.46.28.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the partially settled status.

**Reason <Rsn>** contains one of the following **PartiallySettled21Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2250
Or}	Proprietary <Prtry>	[1..1]	±		2251

##### 65.1.46.28.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Partially settled reason expressed as a code.

*Datatype:* "[SettledStatusReason2Code](#)" on page 2495

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.

CodeName	Name	Definition
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

#### 65.1.46.28.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Partially settled reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.28.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the partially settled reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.29 InRepairStatusReason4Choice

*Definition:* Choice of formats for the reason for an in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2251
Or}	ReasonDetails <RsnDtls>	[1..5]			2252
	Reason <Rsn>	[1..1]			2252
{Or	Code <Cd>	[1..1]	CodeSet		2252
Or}	Proprietary <Prtry>	[1..1]	±		2252
	AdditionalInformation <AddtlInf>	[0..1]	Text		2253

#### 65.1.46.29.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the in repair status.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.29.2 ReasonDetails <RsnDtls>

*Presence:* [1..5]

*Definition:* Reason for the in repair status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **InRepairStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2252
{Or	Code <Cd>	[1..1]	CodeSet		2252
Or}	Proprietary <Prtry>	[1..1]	±		2252
	AdditionalInformation <AddtlInf>	[0..1]	Text		2253

#### 65.1.46.29.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the in repair status expressed as a code.

**Reason <Rsn>** contains one of the following **InRepairStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2252
Or}	Proprietary <Prtry>	[1..1]	±		2252

#### 65.1.46.29.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* In repair reason expressed as a code.

*Datatype:* "InRepairStatusReason1Code" on page 2449

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

#### 65.1.46.29.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* In repair reason expressed as a proprietary code.



**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.29.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the in repair reason.

*Datatype:* "[Max350Text](#)" on page 2536

### 65.1.46.30 SuspendedStatusReason4Choice

*Definition:* Reason for a suspended status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2253
Or}	ReasonDetails <RsnDtls>	[1..5]			2253
	Reason <Rsn>	[1..1]			2254
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254
	AdditionalInformation <AddtlInf>	[0..1]	Text		2254

#### 65.1.46.30.1 NoSpecifiedReason <NoSpctdRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the suspended status.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.30.2 ReasonDetails <RsnDtls>

*Presence:* [1..5]

*Definition:* Reason for the suspended status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **SuspendedStatusReason4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2254
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254
	AdditionalInformation <AddtlInf>	[0..1]	Text		2254

#### 65.1.46.30.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the conditionally accepted status expressed as a code.

**Reason <Rsn>** contains one of the following **SuspendedStatusReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2254
Or}	Proprietary <Prtry>	[1..1]	±		2254

##### 65.1.46.30.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Suspended reason expressed as a code.

*Datatype:* "SuspendedStatusReason3Code" on page 2498

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

##### 65.1.46.30.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Suspended reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

##### 65.1.46.30.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the suspended reason.

*Datatype:* "Max350Text" on page 2536

### 65.1.46.31 RejectedStatus9

*Definition:* Reason for a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2255
{Or	Code <Cd>	[1..1]	CodeSet		2255
Or}	Proprietary <Prtry>	[1..1]	±		2258
	AdditionalInformation <AddtlInf>	[0..1]	Text		2258

#### Constraints

- **RejectedElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

#### 65.1.46.31.1 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2255
Or}	Proprietary <Prtry>	[1..1]	±		2258

##### 65.1.46.31.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason11Code" on page 2485

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.

CodeName	Name	Definition
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.

CodeName	Name	Definition
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, eg, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.

CodeName	Name	Definition
UPAY	UnacceptedPaymentMethod	Payment method, eg, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

#### 65.1.46.31.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.31.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.32 ConditionallyAcceptedStatus3Choice

*Definition:* Reason for a conditionally accepted status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		2258
Or}	ReasonDetails <RsnDtls>	[1..5]			2259
	Reason <Rsn>	[1..1]			2259
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260
	AdditionalInformation <AddtlInf>	[0..1]	Text		2260

#### 65.1.46.32.1 NoSpecifiedReason <NoSpcdfRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the conditionally accepted status.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.32.2 ReasonDetails <RsnDtls>

*Presence:* [1..5]

*Definition:* Reason for the conditionally accepted status, expressed as a code.

**ReasonDetails <RsnDtls>** contains the following **ConditionallyAcceptedStatusReason3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2259
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260
	AdditionalInformation <AddtlInf>	[0..1]	Text		2260

##### 65.1.46.32.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the conditionally accepted status expressed as a code.

**Reason <Rsn>** contains one of the following **ConditionallyAcceptedStatusReason3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2259
Or}	Proprietary <Prtry>	[1..1]	±		2260

##### 65.1.46.32.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Conditionally accepted reason expressed as a code.

*Datatype:* "ConditionallyAcceptedStatusReason2Code" on page 2427

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending

CodeName	Name	Definition
		until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

#### 65.1.46.32.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Conditionally accepted reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.32.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the conditionally accepted reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.33 CancelledStatusReason16

*Definition:* Reason for a cancelled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]			2261
{Or	Code <Cd>	[1..1]	CodeSet		2261
Or	Proprietary <Prtry>	[1..1]	±		2261
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2262
	AdditionalInformation <AddtlInf>	[0..1]	Text		2262



**Constraints**

- **AdditionalInformationRule**

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

- **CancelledElementRule**

Either Reason or AdditionalInformation must be present. Both may be present.

**65.1.46.33.1 Reason <Rsn>**

*Presence:* [0..1]

*Definition:* Reason for the cancelled status.

**Reason <Rsn>** contains one of the following **CancelledReason12Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2261
Or	Proprietary <Prtry>	[1..1]	±		2261
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2262

**65.1.46.33.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Cancelled reason expressed as a code.

*Datatype:* "CancelledStatusReason2Code" on page 2421

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

**65.1.46.33.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Cancelled reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.46.33.1.3 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* No reason available or to report for the cancelled status.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.33.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the cancelled status.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.34 BlockedStatusReason2Choice

*Definition:* Choice of formats for a blocked status reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2262
Or}	Reason <Rsn>	[1..*]			2263
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266

#### 65.1.46.34.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* There is no reason available or to report for the closed account status.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.46.34.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Transaction type for which the account is blocked and the underlying reason.

**Reason <Rsn>** contains the following **BlockedStatusReason2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransactionType <TxTp>	[1..1]			2263
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265
	Blocked <Blckd>	[1..1]	Indicator		2265
	Reason <Rsn>	[0..*]			2265
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266
	AdditionalInformation <AddtlInf>	[1..1]	Text		2266

#### 65.1.46.34.2.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Type of transaction for which the account has a blocked status.

**TransactionType <TxTp>** contains one of the following **TransactionType5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2263
Or}	Proprietary <Prtry>	[1..1]	±		2265

#### 65.1.46.34.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "InvestmentFundTransactionType1Code" on page 2462

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.

CodeName	Name	Definition
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.
INSP	InSpecie	Transaction is an InSpecie.
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

### 65.1.46.34.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.46.34.2.2 Blocked <Blckd>

*Presence:* [1..1]

*Definition:* Indicates whether the account is blocked.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 65.1.46.34.2.3 Reason <Rsn>

*Presence:* [0..\*]

*Definition:* Reason for the blocked status.

**Reason <Rsn>** contains one of the following **BlockedReason2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2265
Or}	Proprietary <Prtry>	[1..1]	±		2266

#### 65.1.46.34.2.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason expressed as a code.

*Datatype:* "[BlockedReason2Code](#)" on page 2419

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.

CodeName	Name	Definition
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

#### 65.1.46.34.2.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.46.34.2.4 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Additional information about the blocked account status.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.46.35 PlanStatus2Choice

*Definition:* Choice of formats for the status of a plan.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2266
Or}	Proprietary <Prtry>	[1..1]	±		2266

#### 65.1.46.35.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status of the plan expressed as a code.

*Datatype:* "[PlanStatus1Code](#)" on page 2477

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.
SUSP	Suspended	Plan is suspended.

#### 65.1.46.35.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status of the plan expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.47 Structured Postal Address

### 65.1.47.1 StructuredLongPostalAddress1

*Definition:* Address of a party expressed in a formal structure, usually according to the country's postal services specifications.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingName <BldgNm>	[0..1]	Text		2267
	StreetName <StrtNm>	[0..1]	Text		2268
	StreetBuildingIdentification <StrtBldgId>	[0..1]	Text		2268
	Floor <Flr>	[0..1]	Text		2268
	TownName <TwnNm>	[1..1]	Text		2268
	DistrictName <DstrctNm>	[0..1]	Text		2268
	RegionIdentification <RgnId>	[0..1]	Text		2268
	State <Stat>	[0..1]	Text		2268
	CountyIdentification <CtyId>	[0..1]	Text		2268
	Country <Ctry>	[1..1]	CodeSet	C11	2268
	PostCodeIdentification <PstCdId>	[1..1]	Text		2269
	PostOfficeBox <POB>	[0..1]	Text		2269

#### Constraints

- **StreetNameAndOrPostOfficeBoxRule**

If StreetName is not present, then PostOfficeBox is mandatory. If StreetName is present, then PostOfficeBox is optional.

#### 65.1.47.1.1 BuildingName <BldgNm>

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "[Max35Text](#)" on page 2536

**65.1.47.1.2 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.3 StreetBuildingIdentification <StrtBldgId>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.4 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* "Max16Text" on page 2535

**65.1.47.1.5 TownName <TwnNm>**

*Presence:* [1..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.6 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Name of a district, that is, a part of a town or region.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.7 RegionIdentification <RgnId>**

*Presence:* [0..1]

*Definition:* Identification of an administrative division of a country, state, or territory.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.8 State <Stat>**

*Presence:* [0..1]

*Definition:* Organised political community or area forming a part of a federation.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.9 CountyIdentification <CtyId>**

*Presence:* [0..1]

*Definition:* Identifier of a county.

*Datatype:* "Max35Text" on page 2536

**65.1.47.1.10 Country <Ctry>**

*Presence:* [1..1]



*Definition:* Nation with its own government.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

### 65.1.47.1.11 PostCodeIdentification <PstCld>

*Presence:* [1..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 2535

### 65.1.47.1.12 PostOfficeBox <POB>

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 2535

## 65.1.48 Tax

### 65.1.48.1 TaxExemptionReason2Choice

*Definition:* Choice of formats for the specification of the tax exemption reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2269
Or}	Proprietary <Prtry>	[1..1]	±		2273

#### 65.1.48.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax exemption reason expressed as a code.

*Datatype:* "TaxExemptReason3Code" on page 2504

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA

CodeName	Name	Definition
		investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).

CodeName	Name	Definition
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when

CodeName	Name	Definition
		a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.

CodeName	Name	Definition
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

### 65.1.48.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.48.2 TaxReference1

*Definition:* Pension scheme tax reference.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxType <TaxTp>	[0..1]			2273
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2274
	Reference <Ref>	[1..1]	Text		2274
	HolderType <HldrTp>	[0..1]			2274
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2275

#### 65.1.48.2.1 TaxType <TaxTp>

*Presence:* [0..1]

*Definition:* Type of tax reference.

**TaxType <TaxTp>** contains one of the following **TaxReferenceType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2274

**65.1.48.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of tax reference expressed as a code.*Datatype:* "PersonIdentificationType7Code" on page 2477

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

**65.1.48.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of tax reference expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.48.2.2 Reference <Ref>***Presence:* [1..1]*Definition:* Tax reference.*Datatype:* "Max35Text" on page 2536**65.1.48.2.3 HolderType <HldrTp>***Presence:* [0..1]

*Definition:* Type of reference holder. For example, the transferee's tax reference. The transferee may also be known as the acquiring party.

**HolderType <HldrTp>** contains one of the following **TaxReferenceParty1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2274
Or}	Proprietary <Prtry>	[1..1]	±		2275

**65.1.48.2.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of party expressed as a code.*Datatype:* "HolderType1Code" on page 2447

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

#### 65.1.48.2.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of party expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.3 Tax38

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2276
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277
	Basis <Bsis>	[0..1]			2278
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Amount <Amt>	[1..1]	Amount	C2, C10	2278
	Country <Ctry>	[0..1]	CodeSet	C11	2279
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2279
	ExemptionReason <XmptnRsn>	[0..1]			2279
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282
	RecipientIdentification <Rcptld>	[0..1]	±		2282
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2283
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

#### 65.1.48.3.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277

##### 65.1.48.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType16Code" on page 2508



CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.

#### 65.1.48.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

### 65.1.48.3.2 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Basis used to determine the capital gain or loss.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278

#### 65.1.48.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.48.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.3.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.3.4 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

##### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.48.3.5 ExemptionIndicator <XmptnInd>

*Presence:* [1..1]

*Definition:* Indicates whether a tax exemption applies.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.48.3.6 ExemptionReason <XmptnRsn>

*Presence:* [0..1]

*Definition:* Reason for the tax exemption.

**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282

##### 65.1.48.3.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a code.

*Datatype:* "TaxExemptReason1Code" on page 2501

CodeName	Name	Definition
NONE	None	Account is not tax exempt.

CodeName	Name	Definition
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed

CodeName	Name	Definition
		upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 65.1.48.3.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.3.7 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.48.3.8 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

##### 65.1.48.3.8.1 Basis <Bsis>

*Presence:* [0..1]

*Definition:* Basis used to determine the capital gain or loss.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283

##### 65.1.48.3.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

##### 65.1.48.3.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.3.8.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.4 TaxReporting3

*Definition:* Information for tax reporting.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxationCountry <TaxtnCtry>	[1..1]	CodeSet	C11	2285
	TaxRate <TaxRate>	[0..1]	Rate		2286
	TaxPayer <TaxPyer>	[0..1]	±		2286
	TaxRecipient <TaxRcpt>	[0..1]	±		2286
	CashAccountDetails <CshAcctDtls>	[0..1]			2286
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrld>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292
	Description <Desc>	[0..1]	Text		2293

#### 65.1.48.4.1 TaxationCountry <TaxtnCtry>

*Presence:* [1..1]

*Definition:* Country of taxation of the organisation or individual person.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.48.4.2 TaxRate <TaxRate>**

*Presence:* [0..1]

*Definition:* Tax rate to be applied.

*Datatype:* "PercentageRate" on page 2534

**65.1.48.4.3 TaxPayer <TaxPyr>**

*Presence:* [0..1]

*Definition:* Party that pays the tax.

**TaxPayer <TaxPyr>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

**65.1.48.4.4 TaxRecipient <TaxRcpt>**

*Presence:* [0..1]

*Definition:* Party that receives the tax.

**TaxRecipient <TaxRcpt>** contains one of the following elements (see "PartyIdentification125Choice" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

**65.1.48.4.5 CashAccountDetails <CshAcctDtls>**

*Presence:* [0..1]

*Definition:* Cash account information for the payment of tax.

**CashAccountDetails <CshAcctDtls>** contains the following **CashAccount204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SettlementCurrency <SttlmCcy>	[1..1]	CodeSet	C2	2287
	Identification <Id>	[1..1]	±		2287
	AccountOwner <AcctOwnr>	[0..1]	±		2288
	AccountServicer <AcctSvcr>	[0..1]	±		2288
	AccountServicerBranch <AcctSvcrBrnch>	[0..1]	±		2288
	AccountOwnerOtherIdentification <AcctOwnrOthrId>	[0..*]	±		2289
	InvestmentAccountType <InvstmtAcctTp>	[0..1]	±		2289
	CreditDebit <CdtDbt>	[0..1]	CodeSet		2289
	SettlementInstructionReason <SttlmInstrRsn>	[0..1]			2290
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountPurpose <CshAcctPurp>	[0..1]			2291
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291
	CashAccountDesignation <CshAcctDsgnt>	[0..1]			2292
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292
	DividendPercentage <DvddPctg>	[0..1]	Rate		2292

#### 65.1.48.4.5.1 SettlementCurrency <SttlmCcy>

*Presence:* [1..1]

*Definition:* Currency associated with the payment instrument.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyCode" on page 2417

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.48.4.5.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**Identification <Id>** contains the following elements (see "[AccountIdentificationAndName5](#)" on page 1003 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1003
	Name <Nm>	[0..1]	Text		1003

#### 65.1.48.4.5.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see "[PartyIdentification125Choice](#)" on page 1891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1891
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1891
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1891

#### 65.1.48.4.5.4 AccountServicer <AcctSvcr>

*Presence:* [0..1]

*Definition:* Party that manages the account on behalf of the account owner, that is manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "[FinancialInstitutionIdentification11Choice](#)" on page 1164 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NameAndAddress <NmAndAdr>	[1..1]	±		1164
Or	BICFI <BICFI>	[1..1]	IdentifierSet	C5	1164
Or	ClearingSystemMemberIdentification <ClrSysMmbld>	[1..1]	±		1165
Or}	ProprietaryIdentification <PrtryId>	[1..1]			1165
	Identification <Id>	[1..1]	Text		1166

#### 65.1.48.4.5.5 AccountServicerBranch <AcctSvcrBrnch>

*Presence:* [0..1]

*Definition:* Information identifying a specific branch of a financial institution.

Usage: this component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**AccountServicerBranch <AcctSvcrBrnch>** contains the following elements (see "BranchData4" on page 1163 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1163
	Name <Nm>	[0..1]	Text		1163
	PostalAddress <PstlAdr>	[0..1]	±		1163

#### 65.1.48.4.5.6 AccountOwnerOtherIdentification <AcctOwnrOthrId>

*Presence:* [0..\*]

*Definition:* Alternative identification, for example, national registration identification number, passport number, tax identification number. This may be an account number used to further identify the beneficial owner, for example, a Central Provident Fund (CPF) account as required for Singapore.

**AccountOwnerOtherIdentification <AcctOwnrOthrId>** contains the following elements (see "GenericIdentification82" on page 1354 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1354
	Type <Tp>	[1..1]			1355
{Or	Code <Cd>	[1..1]	CodeSet		1355
Or}	Proprietary <Prtry>	[1..1]	±		1356
	Issuer <Issr>	[0..1]	Text		1356
	IssueDate <IsseDt>	[0..1]	Date		1356
	ExpiryDate <XpryDt>	[0..1]	Date		1356
	State <Stat>	[0..1]	Text		1356
	IssuerCountry <IssrCtry>	[0..1]	CodeSet	C11	1356

#### 65.1.48.4.5.7 InvestmentAccountType <InvstmtAcctTp>

*Presence:* [0..1]

*Definition:* Type of account.

**InvestmentAccountType <InvstmtAcctTp>** contains one of the following elements (see "AccountType2Choice" on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		993
Or}	Proprietary <Prtry>	[1..1]	±		993

#### 65.1.48.4.5.8 CreditDebit <CdtDbt>

*Presence:* [0..1]

*Definition:* Specifies if the account is for credits or debits.

*Datatype:* "CreditDebit3Code" on page 2432

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

#### 65.1.48.4.5.9 SettlementInstructionReason <SttlmInstrRsn>

*Presence:* [0..1]

*Definition:* Type of transaction for which the cash account is specified.

**SettlementInstructionReason <SttlmInstrRsn>** contains one of the following **SettlementInstructionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2290
Or}	Proprietary <Prtry>	[1..1]	±		2291

#### 65.1.48.4.5.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a code.

*Datatype:* "SettlementInstructionReason1Code" on page 2496

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.

CodeName	Name	Definition
CORP	CorporateAction	Settlement of corporate actions.

#### 65.1.48.4.5.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement instruction reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.4.5.10 CashAccountPurpose <CshAcctPurp>

*Presence:* [0..1]

*Definition:* Purpose of the cash account.

**CashAccountPurpose <CshAcctPurp>** contains one of the following **CashAccountType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2291
Or}	Proprietary <Prtry>	[1..1]	±		2291

##### 65.1.48.4.5.10.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a code.

*Datatype:* "[CashAccountType5Code](#)" on page 2422

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

##### 65.1.48.4.5.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of cash account expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.4.5.11 CashAccountDesignation <CshAcctDsgnt>

*Presence:* [0..1]

*Definition:* Specifies whether the account is the primary or secondary account if there are two accounts for the same purpose.

**CashAccountDesignation <CshAcctDsgnt>** contains one of the following **AccountDesignation1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2292
Or}	Proprietary <Prtry>	[1..1]	±		2292

##### 65.1.48.4.5.11.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Account designation expressed as a code.

*Datatype:* "[Rank1Code](#)" on page 2482

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

##### 65.1.48.4.5.11.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Account designation expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

##### 65.1.48.4.5.12 DividendPercentage <DvddPctg>

*Presence:* [0..1]



*Definition:* Percentage of the dividend payment not to be reinvested, that is, to be paid in cash.

*Datatype:* "PercentageBoundedRate" on page 2534

#### 65.1.48.4.6 Description <Desc>

*Presence:* [0..1]

*Definition:* Additional information for the reporting of tax.

*Datatype:* "Max350Text" on page 2536

### 65.1.48.5 Tax35

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2293
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2295
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	2295
	AppliedRate <ApIdRate>	[0..1]	Rate		2295
	Country <Ctry>	[0..1]	CodeSet	C11	2296
	RecipientIdentification <RcptId>	[0..1]	±		2296
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2296
	Basis <Bsis>	[0..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2297
Or}	Proprietary <Prtry>	[1..1]	±		2297
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2297

#### 65.1.48.5.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2293
Or}	Proprietary <Prtry>	[1..1]	±		2295

##### 65.1.48.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2509

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old

CodeName	Name	Definition
		Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 65.1.48.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.5.2 AppliedAmount <ApIdAmt>

*Presence:* [1..1]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.5.3 AppliedRate <ApIdRate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax.

Datatype: ["PercentageRate"](#) on page 2534

#### 65.1.48.5.4 Country <Ctry>

Presence: [0..1]

Definition: Country where the tax is due.

Impacted by: [C11 "Country"](#)

Datatype: ["CountryCode"](#) on page 2431

##### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.48.5.5 RecipientIdentification <RcptId>

Presence: [0..1]

Definition: Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see ["PartyIdentification139"](#) on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.48.5.6 TaxCalculationDetails <TaxClctnDtls>

Presence: [0..1]

Definition: Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2296
{Or	Code <Cd>	[1..1]	CodeSet		2297
Or}	Proprietary <Prtry>	[1..1]	±		2297
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2297

##### 65.1.48.5.6.1 Basis <Bsis>

Presence: [0..1]

Definition: Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2297
Or}	Proprietary <Prtry>	[1..1]	±		2297

#### 65.1.48.5.6.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.48.5.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.5.6.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C2](#) "ActiveCurrency", [C10](#) "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

## 65.1.48.6 InformativeTax1

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxableIncomePerDividend <TaxblIncmPerDvdd>	[0..1]	Amount	C2, C10	2299
	EUCapitalGain <EUCptlGn>	[0..1]			2299
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300
	EUDividendStatus <EUDvddSts>	[0..1]			2300
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	Rate		2301
	IndividualTax <IndvTax>	[0..*]			2301
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**Constraints**

- **TaxElementRule**

One of the elements (TaxableIncomePerDividend, EUCapitalGain, EUDividendStatus, PercentageOfDebtClaim, IndividualTax) must be present.

**65.1.48.6.1 TaxableIncomePerDividend <TaxblIncMPerDvdd>**

*Presence:* [0..1]

*Definition:* Amount included in the dividend that corresponds to gains directly or indirectly derived from interest payment in the scope of the European Directive on taxation of savings income in the form of interest payments.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.48.6.2 EUCapitalGain <EUCptlGn>**

*Presence:* [0..1]

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUCapitalGain <EUCptlGn>** contains one of the following **EUCapitalGain3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2299
Or}	Proprietary <Prtry>	[1..1]	±		2300

**65.1.48.6.2.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a code.

*Datatype:* "EUCapitalGain2Code" on page 2437

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.

CodeName	Name	Definition
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

#### 65.1.48.6.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* EU capital gain expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.6.3 EUDividendStatus <EUDvddSts>

*Presence:* [0..1]

*Definition:* Specifies whether dividend is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June), or an income realised upon sale, a refund or redemption of shares and units, etc.

**EUDividendStatus <EUDvddSts>** contains one of the following **EUDividendStatusType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2300
Or}	Proprietary <Prtry>	[1..1]	±		2300

##### 65.1.48.6.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* EU dividend status expressed as a code.

*Datatype:* "[EUDividendStatus1Code](#)" on page 2437

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

##### 65.1.48.6.3.2 Proprietary <Prtry>

*Presence:* [1..1]



*Definition:* EU dividend status expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </d>	[1..1]	Text		1360
	Issuer </ssr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.6.4 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of the funds that represents a debt and is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June).

*Datatype:* "[PercentageRate](#)" on page 2534

#### 65.1.48.6.5 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Information related to a specific tax that is provided for information purposes.

**IndividualTax <IndvTax>** contains the following **Tax32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2302
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304
	InformativeAmount <InftvAmt>	[0..1]	Amount	C2, C10	2304
	InformativeRate <InftvRate>	[0..1]	Rate		2304
	Country <Ctry>	[0..1]	CodeSet	C11	2305
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2305
	ExemptionReason <XmptnRsn>	[0..1]			2305
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308
	RecipientIdentification <Rcptld>	[0..1]	±		2308
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2309
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

#### 65.1.48.6.5.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax applied.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2302
Or}	Proprietary <Prtry>	[1..1]	±		2304

##### 65.1.48.6.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2509

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.

CodeName	Name	Definition
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).

CodeName	Name	Definition
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 65.1.48.6.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.6.5.2 InformativeAmount <InftvAmt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from the calculation of the tax. This amount is provided for information only.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.6.5.3 InformativeRate <InftvRate>

*Presence:* [0..1]

*Definition:* Rate used to calculate the tax. This rate is provided for information only.

*Datatype:* "PercentageRate" on page 2534

**65.1.48.6.5.4 Country <Ctry>***Presence:* [0..1]*Definition:* Country where the tax is due.*Impacted by:* C11 "Country"*Datatype:* "CountryCode" on page 2431**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.48.6.5.5 ExemptionIndicator <XmptnInd>***Presence:* [1..1]*Definition:* Indicates whether a tax exemption applies.*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.48.6.5.6 ExemptionReason <XmptnRsn>***Presence:* [0..1]*Definition:* Reason for the tax exemption.**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2305
Or}	Proprietary <Prtry>	[1..1]	±		2308

**65.1.48.6.5.6.1 Code <Cd>***Presence:* [1..1]*Definition:* Exemption reason expressed as a code.*Datatype:* "TaxExemptReason1Code" on page 2501

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.

CodeName	Name	Definition
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsuranceISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).

CodeName	Name	Definition
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when

CodeName	Name	Definition
		a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 65.1.48.6.5.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.6.5.7 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895



**65.1.48.6.5.8 TaxCalculationDetails <TaxClctnDtls>***Presence:* [0..1]*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2309
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2310

**65.1.48.6.5.8.1 Basis <Bsis>***Presence:* [0..1]*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2309
Or}	Proprietary <Prtry>	[1..1]	±		2309

**65.1.48.6.5.8.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Tax basis expressed as a code.*Datatype:* "TaxationBasis2Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**65.1.48.6.5.8.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.6.5.8.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.7 Tax31

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2311
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313
	AppliedAmount <ApIdAmt>	[1..1]	Amount	C2, C10	2313
	AppliedRate <ApIdRate>	[0..1]	Rate		2313
	Country <Ctry>	[0..1]	CodeSet	C11	2313
	RecipientIdentification <RcptId>	[0..1]	±		2314
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2314
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

#### 65.1.48.7.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2311
Or}	Proprietary <Prtry>	[1..1]	±		2313

##### 65.1.48.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2509

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is

CodeName	Name	Definition
		gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

**65.1.48.7.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of tax expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

**65.1.48.7.2 AppliedAmount <ApldAmt>***Presence:* [1..1]*Definition:* Amount of money resulting from the calculation of the tax.*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.48.7.3 AppliedRate <ApldRate>***Presence:* [0..1]*Definition:* Rate used to calculate the tax.*Datatype:* ["PercentageRate"](#) on page 2534**65.1.48.7.4 Country <Ctry>***Presence:* [0..1]*Definition:* Country where the tax is due.*Impacted by:* [C11 "Country"](#)*Datatype:* ["CountryCode"](#) on page 2431

**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

**65.1.48.7.5 RecipientIdentification <RcptId>**

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "[PartyIdentification113](#)" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

**65.1.48.7.6 TaxCalculationDetails <TaxClctnDtls>**

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[0..1]			2314
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2315

**65.1.48.7.6.1 Basis <Bsis>**

*Presence:* [0..1]

*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2314
Or}	Proprietary <Prtry>	[1..1]	±		2315

**65.1.48.7.6.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* ["TaxationBasis2Code" on page 2500](#)

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

#### 65.1.48.7.6.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification47" on page 1360](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.7.6.2 TaxableAmount <TaxblAmt>

*Presence:* [1..1]

*Definition:* Amount of money on which the tax is charged.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount" on page 2410](#)

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.8 Tax30

*Definition:* Tax related to an investment fund order.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2316
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318
	Tax <Tax>	[0..1]			2318
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319
	Country <Ctry>	[0..1]	CodeSet	C11	2319
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2319
	ExemptionReason <XmptnRsn>	[0..1]			2319
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322
	RecipientIdentification <RcptId>	[0..1]	±		2323
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2323
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

#### 65.1.48.8.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of tax.

**Type <Tp>** contains one of the following **TaxType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2316
Or}	Proprietary <Prtry>	[1..1]	±		2318

##### 65.1.48.8.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a code.

*Datatype:* "TaxType17Code" on page 2509

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.



CodeName	Name	Definition
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the

CodeName	Name	Definition
		opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

#### 65.1.48.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of tax expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.8.2 Tax <Tax>

*Presence:* [0..1]

*Definition:* Tax to be applied.

**Tax <Tax>** contains one of the following **TaxAmountOrRate4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C2, C10	2318
Or}	Rate <Rate>	[1..1]	Rate		2319

##### 65.1.48.8.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Amount of money resulting from the calculation of the tax.

*Impacted by:* [C2 "ActiveCurrency"](#), [C10 "CurrencyAmount"](#)

*Datatype:* ["ActiveCurrencyAndAmount"](#) on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

#### 65.1.48.8.2.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Rate used to calculate the tax.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.48.8.3 Country <Ctry>

*Presence:* [0..1]

*Definition:* Country where the tax is due.

*Impacted by:* C11 "Country"

*Datatype:* "CountryCode" on page 2431

#### Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

#### 65.1.48.8.4 ExemptionIndicator <XmptnInd>

*Presence:* [1..1]

*Definition:* Indicates whether a tax exemption applies.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.48.8.5 ExemptionReason <XmptnRsn>

*Presence:* [0..1]

*Definition:* Reason for the tax exemption.

**ExemptionReason <XmptnRsn>** contains one of the following **ExemptionReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2319
Or}	Proprietary <Prtry>	[1..1]	±		2322

#### 65.1.48.8.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a code.

*Datatype:* "TaxExemptReason1Code" on page 2501

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).

CodeName	Name	Definition
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up

CodeName	Name	Definition
		for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

#### 65.1.48.8.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Exemption reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.48.8.6 RecipientIdentification <RcptId>

*Presence:* [0..1]

*Definition:* Party that receives the tax. The recipient of, and the party entitled to, the tax may be two different parties.

**RecipientIdentification <RcptId>** contains the following elements (see "PartyIdentification113" on page 1895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1895
	LEI <LEI>	[0..1]	IdentifierSet		1895

#### 65.1.48.8.7 TaxCalculationDetails <TaxClctnDtls>

*Presence:* [0..1]

*Definition:* Information used to calculate the tax.

**TaxCalculationDetails <TaxClctnDtls>** contains the following **TaxCalculationInformation9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Basis <Bsis>	[1..1]			2323
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

##### 65.1.48.8.7.1 Basis <Bsis>

*Presence:* [1..1]

*Definition:* Form of the rebate, for example, cash.

**Basis <Bsis>** contains one of the following **TaxBasis1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2323
Or}	Proprietary <Prtry>	[1..1]	±		2324

##### 65.1.48.8.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a code.

*Datatype:* "TaxationBasis2Code" on page 2500

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

### 65.1.48.8.7.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Tax basis expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.49 Transaction Type

### 65.1.49.1 TransactionType2Choice

*Definition:* Choice of formats for the transaction type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2324
Or}	Proprietary <Prtry>	[1..1]	±		2325

#### 65.1.49.1.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a code.

*Datatype:* "[TransactionType2Code](#)" on page 2512

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.



CodeName	Name	Definition
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

#### 65.1.49.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transaction type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.49.2 TradeTransactionCondition8Choice

*Definition:* Choice of format for the trade transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

##### 65.1.49.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Trade condition expressed as a code.

*Datatype:* "[TradeTransactionCondition5Code](#)" on page 2511

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

### 65.1.49.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Trade condition expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

### 65.1.49.3 SettlementTransactionCondition30Choice

*Definition:* Choice of format for the settlement transaction conditions.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.49.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Settlement condition expressed as a code.

*Datatype:* "[SettlementTransactionCondition11Code](#)" on page 2496

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

#### 65.1.49.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Settlement condition expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1359
	Issuer <Issr>	[1..1]	Text		1359
	SchemeName <SchmeNm>	[0..1]	Text		1359

#### 65.1.49.4 CorporateAction1Choice

*Definition:* Choice of formats for the corporate action event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Type <Tp>	[1..1]	CodeSet		2327
Or}	Proprietary <Prtry>	[1..1]	±		2329

##### 65.1.49.4.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Corporate action event type expressed as a code.

*Datatype:* "[CorporateActionEventType1Code](#)" on page 2429

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is not offered a choice in the form of distribution.

CodeName	Name	Definition
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically represented by shares, rights or

CodeName	Name	Definition
		warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation.  It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital pay-out to shareholder.

#### 65.1.49.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Corporate action event expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 1360 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

## 65.1.50 Transfer

### 65.1.50.1 Transfer36

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferReference <TrfRef>	[1..1]	Text		2331
	ClientReference <CIntRef>	[0..1]	±		2331
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2331
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2331
	RequestedTransferDate <ReqdTrfDt>	[0..1]	±		2332
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2332
	TransferOrderDateForm <TrfOrdDtForm>	[0..1]	Date		2332
	TransferReason <TrfRsn>	[0..1]	±		2332
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2332
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2333
	Quantity <Qty>	[1..1]	±		2333
	UnitsDetails <UnitsDtls>	[0..*]	±		2334
	Rounding <Rndg>	[0..1]	CodeSet		2334
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2335
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2335
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2335
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2336
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2336
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2336

**Constraints**

- **TotalUnitsNumberRule**

Quantity/TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**65.1.50.1.1 TransferReference <TrfRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

**65.1.50.1.2 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.1.3 CounterpartyReference <CtrPtyRef>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.1.4 BusinessFlowType <BizFlowTp>**

*Presence:* [0..1]

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

*Datatype:* "BusinessFlowType1Code" on page 2420

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

#### 65.1.50.1.5 RequestedTransferDate <ReqdTrfDt>

*Presence:* [0..1]

*Definition:* Date for which the instructing party requests the transfer.

**RequestedTransferDate <ReqdTrfDt>** contains one of the following elements (see ["DateFormat1Choice"](#) on page 1058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1058
Or	Code <Cd>	[1..1]	CodeSet		1058
Or}	DateTime <DtTm>	[1..1]	DateTime		1059

#### 65.1.50.1.6 RequestedSettlementDate <ReqdSttlmDt>

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.50.1.7 TransferOrderDateForm <TrfOrdrDtForm>

*Presence:* [0..1]

*Definition:* Date on which the investor signed the transfer order form.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.50.1.8 TransferReason <TrfRsn>

*Presence:* [0..1]

*Definition:* Reason for the transfer.

**TransferReason <TrfRsn>** contains one of the following elements (see ["TransferReason1Choice"](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2398
Or}	Proprietary <Prtry>	[1..1]	±		2399

#### 65.1.50.1.9 HoldingsPlanType <HldgsPlanTp>

*Presence:* [0..3]



*Definition:* Specifies information about investment plans included in the holding.

*Datatype:* "HoldingsPlanType1Code" on page 2448

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

#### 65.1.50.1.10 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Information related to the financial instrument to be transferred.

*Impacted by:* C16 "IdentificationGuideline"

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument88" on page 1278 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1278
	Name <Nm>	[0..1]	Text		1279
	ShortName <ShrtNm>	[0..1]	Text		1279
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1279
	ClassType <ClsTp>	[0..1]	Text		1280
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		1280
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1280
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		1280

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.50.1.11 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Total quantity of securities to be transferred, expressed as a number of units or a percentage rate.

**Quantity <Qty>** contains one of the following elements (see "Quantity42Choice" on page 1332 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		1333
Or}	TransferRate <TrfRate>	[1..1]	Rate		1333

#### 65.1.50.1.12 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units to be transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit12" on page 1318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1319
	OrderDate <OrdrtDt>	[0..1]	Date		1319
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1319
	CertificateNumber <CertNb>	[0..*]	Text		1320
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1320
	Reference <Ref>	[0..1]	Text		1320
	PriceDetails <PricDtls>	[0..1]	±		1320
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1321
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1321
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1321
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1322
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1322
	IndividualFee <IndvFee>	[0..*]	±	C6	1322
	IndividualTax <IndvTax>	[0..*]	±		1323
	OtherAmount <OthrAmt>	[0..*]			1324
	Type <Tp>	[1..1]			1324
{Or	Code <Cd>	[1..1]	CodeSet		1325
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1325
	Amount <Amt>	[1..1]	Amount	C2, C10	1325

#### 65.1.50.1.13 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 65.1.50.1.14 OriginalCost <OrgnlCost>

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

##### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.50.1.15 AveragePrice <AvrgPric>

*Presence:* [0..1]

*Definition:* Value of the security, as booked in the account. Book value is often different from the current market value of the security.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.50.1.16 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency to be used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyCode" on page 2417

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.1.50.1.17 OwnAccountTransferIndicator <OwnAcctTrfInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.50.1.18 NonStandardSettlementInformation <NonStdSttlmInf>**

*Presence:* [0..1]

*Definition:* Additional specific settlement information for the fund.

*Datatype:* ["Max350Text" on page 2536](#)

**65.1.50.1.19 TransferExpensesPaymentType <TrfExpnssPmtTp>**

*Presence:* [0..1]

*Definition:* Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

**TransferExpensesPaymentType <TrfExpnssPmtTp>** contains one of the following elements (see ["ChargePaymentMethod1Choice" on page 1085](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1085
Or}	Proprietary <Prtry>	[1..1]	±		1085

**65.1.50.2 FundSettlementParameters18**

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2337
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2337
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2338
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2338
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2338

#### 65.1.50.2.1 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

#### 65.1.50.2.2 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.2.3 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.2.4 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2536

#### 65.1.50.2.5 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of receiving settlement parties.

*Impacted by:* C7 "BookTransferGuideline", C11 "DepositoryGuideline", C19 "Party2PresenceRule", C20 "Party3PresenceRule", C21 "Party4PresenceRule", C22 "Party5PresenceRule", C26 "SettlementChainGuideline"

**ReceivingSideDetails <RcvgSdDtls>** contains the following elements (see "SettlementParties94" on page 1773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

## Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### 65.1.50.3 FundSettlementParameters17

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		2340
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2341
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2341
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2341
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2342
	DeliveringSideDetails <DlvrSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2343

#### 65.1.50.3.1 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository or an International Central Securities Depository.



**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 2131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			2131
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2132
	Identification <Id>	[0..1]	Text		2132
Or	Country <Ctry>	[1..1]	CodeSet	C11	2132
Or	TypeAndIdentification <TpAndId>	[1..1]			2132
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		2133
	Identification <Id>	[1..1]	IdentifierSet	C1	2133
Or}	Proprietary <Prtry>	[1..1]	±		2133

#### 65.1.50.3.2 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.3.3 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.3.4 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2536

### 65.1.50.3.5 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of receiving settlement parties.

*Impacted by:* C7 "BookTransferGuideline", C11 "DepositoryGuideline", C19 "Party2PresenceRule", C20 "Party3PresenceRule", C21 "Party4PresenceRule", C22 "Party5PresenceRule", C26 "SettlementChainGuideline"

**ReceivingSideDetails <RcvgSdDtls>** contains the following elements (see "SettlementParties94" on page 1773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

#### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

On Condition  
/Party2 is present

Following Must be True  
/Party1 Must be present

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

On Condition  
/Party3 is present  
Following Must be True  
/Party2 Must be present

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

On Condition  
/Party4 is present  
Following Must be True  
/Party3 Must be present

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

On Condition  
/Party5 is present  
Following Must be True  
/Party4 Must be present

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### 65.1.50.3.6 DeliveringSideDetails <DivrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of delivering settlement parties.

*Impacted by:* C7 "BookTransferGuideline", C11 "DepositoryGuideline", C19 "Party2PresenceRule", C20 "Party3PresenceRule", C21 "Party4PresenceRule", C22 "Party5PresenceRule", C26 "SettlementChainGuideline"

**DeliveringSideDetails <DlvrgSdDtIs>** contains the following elements (see "[SettlementParties94](#)" on page 1773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

#### 65.1.50.4 FundSettlementParameters16

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2345
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2346
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2346
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2346

##### 65.1.50.4.1 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "TradeTransactionCondition8Choice" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.4.2 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.

**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.4.3 SecuritiesSettlementSystemIdentification <SciesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2536

#### 65.1.50.4.4 ReceivingSideDetails <RcvgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of receiving settlement parties.

*Impacted by:* C7 "BookTransferGuideline", C11 "DepositoryGuideline", C19 "Party2PresenceRule", C20 "Party3PresenceRule", C21 "Party4PresenceRule", C22 "Party5PresenceRule", C26 "SettlementChainGuideline"

**ReceivingSideDetails <RcvgSdDtls>** contains the following elements (see "SettlementParties94" on page 1773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

## Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
  /Party2 is present
Following Must be True
  /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
  /Party3 is present
Following Must be True
  /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
  /Party4 is present
Following Must be True
  /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
  /Party5 is present
Following Must be True
  /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

### 65.1.50.5 FundSettlementParameters15

*Definition:* Parameters applied to the settlement of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2348
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2348
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2349
	DeliveringSideDetails <DlvrgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2349

#### 65.1.50.5.1 TradeTransactionCondition <TradTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be/was executed. This may be required for settlement through T2S.

**TradeTransactionCondition <TradTxCond>** contains one of the following elements (see "[TradeTransactionCondition8Choice](#)" on page 2325 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2325
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.5.2 SettlementTransactionCondition <SttlmTxCond>

*Presence:* [0..\*]

*Definition:* Condition under which the order/trade is to be settled. This may be required for settlement through T2S.



**SettlementTransactionCondition <SttlmTxCond>** contains one of the following elements (see "SettlementTransactionCondition30Choice" on page 2326 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2326
Or}	Proprietary <Prtry>	[1..1]	±		2326

#### 65.1.50.5.3 SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>

*Presence:* [0..1]

*Definition:* Identification of a specific system or set of rules and/or processes to be applied at the settlement place.

*Datatype:* "Max35Text" on page 2536

#### 65.1.50.5.4 DeliveringSideDetails <DlvrgSdDtls>

*Presence:* [0..1]

*Definition:* Chain of delivering settlement parties.

*Impacted by:* C7 "BookTransferGuideline", C11 "DepositoryGuideline", C19 "Party2PresenceRule", C20 "Party3PresenceRule", C21 "Party4PresenceRule", C22 "Party5PresenceRule", C26 "SettlementChainGuideline"

**DeliveringSideDetails <DlvrgSdDtls>** contains the following elements (see "SettlementParties94" on page 1773 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]	±		1775
	Party1 <Pty1>	[0..1]	±		1776
	Party2 <Pty2>	[0..1]	±		1776
	Party3 <Pty3>	[0..1]	±		1776
	Party4 <Pty4>	[0..1]	±		1777
	Party5 <Pty5>	[0..1]	±		1777

#### Constraints

- **BookTransferGuideline**

In the case of an own account internal transfer, the account of (delivering) Party2 at (delivering) Party1 must be provided.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **DepositoryGuideline**

In a delivery, the receiving depository is to be understood as the requested depository of the receiving counterparty.

In a receive, the delivering depository is to be understood as the requested depository of the delivering counterparty.

The field must be populated with the BIC of a national or international CSD. When no CSD exists in a particular market, the stock exchange BIC will be used.

Country code should be used for settlement taking place outside of an institution published in the PSET's BIC list. This includes physical deliveries and investment funds not settling at a CSD.

The format and content of the settlement party sequences will comply with the market practices published for the counterparty depository included in the message.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

- **Party2PresenceRule**

If Party2 is present, then Party1 must be present.

```
On Condition
    /Party2 is present
Following Must be True
    /Party1 Must be present
```

- **Party3PresenceRule**

If Party3 is present, then Party2 must be present.

```
On Condition
    /Party3 is present
Following Must be True
    /Party2 Must be present
```

- **Party4PresenceRule**

If Party4 is present, then Party3 must be present.

```
On Condition
    /Party4 is present
Following Must be True
    /Party3 Must be present
```

- **Party5PresenceRule**

If Party5 is present, then Party4 must be present.

```
On Condition
    /Party5 is present
Following Must be True
    /Party4 Must be present
```

- **SettlementChainGuideline**

SMPG recommends that at least three settlement parties be instructed in equity or fixed income receive

free or against payment settlement instructions; the depository, the participant of the depository (Party1) and the client of Party1 (Party2).

The data format for the identification of Party1 depends on the market. If no country specific requirement is available, BIC is recommended.

For more details, see the relevant market practice document on [www.smpg.info](http://www.smpg.info).

## 65.1.50.6 TransferType2Choice

*Definition:* Choice of formats for a transfer type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2351
Or}	Proprietary <Prtry>	[1..1]	±		2351

### Constraints

- **SECUGuideline**

The code SECU (Asset) is used when a financial instrument such as units of a fund are to be transferred.

The code SECU is also used when assets such as equities or bonds are to be transferred. The code SECU is also used for assets such as property, moveable property and other similar types of other asset.

#### 65.1.50.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transfer type expressed as a code.

*Datatype:* "TransferType4Code" on page 2515

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

#### 65.1.50.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transfer type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.50.7 DeliverInformation20

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2353
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2353
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2353
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2354
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2354
	IncomePreference <IncmPref>	[0..1]	CodeSet		2354
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2354
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2355
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2355
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2355
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2355
	StampDuty <StrmpDty>	[0..1]	CodeSet		2355
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2356
	Fees <Fees>	[0..*]	±	C15	2356
	IndividualTax <IndvTax>	[0..*]	±		2357
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2358
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2359
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2359
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2360
	ClientReference <ClntRef>	[0..1]	±		2360

## Constraints

### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

**65.1.50.7.1 Transferor <Trfr>***Presence:* [0..1]*Definition:* Party that delivers (transferor) securities to the receiving agent (transferee).**Transferor <Trfr>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

**65.1.50.7.2 TransferorRegisteredAccount <TrfrRegdAcct>***Presence:* [0..1]*Definition:* Account from which the securities are to be delivered.**TransferorRegisteredAccount <TrfrRegdAcct>** contains the following elements (see "[Account31](#)" on page 1402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1402
	AccountName <AcctNm>	[0..1]	Text		1402
	Designation <Dsgnt>	[0..1]	Text		1402
	Servicer <Svcr>	[0..1]	±		1402
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1403

**65.1.50.7.3 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.**IntermediaryInformation <IntrmyInf>** contains the following elements (see "[Intermediary43](#)" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

**65.1.50.7.4 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.50.7.5 DematerialisedIndicator <DmtrlsdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.50.7.6 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**65.1.50.7.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>**

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**65.1.50.7.8 RequestedTradeDate <ReqdTradDt>***Presence:* [0..1]*Definition:* Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2521**65.1.50.7.9 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).*Datatype:* "ISODate" on page 2521**65.1.50.7.10 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.50.7.11 SettlementAmount <SttlmAmt>***Presence:* [0..1]*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"*Datatype:* "ActiveCurrencyAndAmount" on page 2410**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.50.7.12 StampDuty <StmpDty>***Presence:* [0..1]

*Definition:* Specifies if the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2498

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

### 65.1.50.7.13 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.50.7.14 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C15 "FeeTaxElementRule"



**Fees <Fees>** contains the following elements (see "Fees2" on page 1095 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1096
	IndividualFee <IndvFee>	[0..*]			1096
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

### 65.1.50.7.15 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of a financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2275 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2276
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277
	Basis <Bsis>	[0..1]			2278
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Amount <Amt>	[1..1]	Amount	C2, C10	2278
	Country <Ctry>	[0..1]	CodeSet	C11	2279
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2279
	ExemptionReason <XmptnRsn>	[0..1]			2279
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282
	RecipientIdentification <RcptId>	[0..1]	±		2282
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2283
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

#### 65.1.50.7.16 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "ForeignExchangeTerms37" on page 1334 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1335
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1335
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1336
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1336
	ExchangeRate <XchgRate>	[1..1]	Rate		1336
	QuotationDate <QtnDt>	[0..1]	DateTime		1337
	QuotingInstitution <QtgInstn>	[0..1]	±		1337

#### 65.1.50.7.17 SettlementPartiesDetails <SttlmPtiesDtIs>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtIs>** contains the following elements (see "FundSettlementParameters15" on page 2348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2348
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2348
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2349
	DeliveringSideDetails <DlvrSdDtIs>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2349

#### 65.1.50.7.18 PhysicalTransfer <PhysTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* "PhysicalTransferType1Code" on page 2477

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

### 65.1.50.7.19 PhysicalTransferDetails <PhysTrfDtls>

*Presence:* [0..1]

*Definition:* Parameters of a physical delivery.

*Impacted by:* C17 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "DeliveryParameters4" on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2070
	NameAndAddress <NmAndAdr>	[0..1]	±		2070
	ContactPerson <CtctPrsn>	[0..1]	±		2070

#### Constraints

- **NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

### 65.1.50.7.20 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 65.1.50.8 DeliverInformation21

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferor <Trfr>	[0..1]	±		2361
	TransferorRegisteredAccount <TrfrRegdAcct>	[0..1]	±		2362
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2362
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2362
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2363
	IncomePreference <IncmPref>	[0..1]	CodeSet		2363
	BeneficiaryCertificationCompletion <BnfcrtyCertfctnCmpltn>	[0..1]	CodeSet		2363
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2363
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2364
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2364
	StampDuty <StmpDty>	[0..1]	CodeSet		2364
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2364
	Fees <Fees>	[0..*]	±	C15	2365
	IndividualTax <IndvTax>	[0..*]	±		2366
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2366
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2367
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2368
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2368
	ClientReference <ClntRef>	[0..1]	±		2368

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

### 65.1.50.8.1 Transferor <Trfr>

Presence: [0..1]

*Definition:* Party that delivers (transferor) securities to the receiving agent (transferee).

**Transferor <Trfr>** contains the following elements (see ["PartyIdentification139"](#) on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.50.8.2 TransferorRegisteredAccount <TrfrRegdAcct>

*Presence:* [0..1]

*Definition:* Account from which the securities are to be delivered.

**TransferorRegisteredAccount <TrfrRegdAcct>** contains the following elements (see ["Account31"](#) on page 1402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1402
	AccountName <AcctNm>	[0..1]	Text		1402
	Designation <Dsgnt>	[0..1]	Text		1402
	Servicer <Svcr>	[0..1]	±		1402
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1403

#### 65.1.50.8.3 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see ["Intermediary43"](#) on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.50.8.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* ["FormOfSecurity1Code"](#) on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.50.8.5 DematerialisedIndicator <DmtrlSdInd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.50.8.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.50.8.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* ["BeneficiaryCertificationCompletion1Code"](#) on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 65.1.50.8.8 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* ["ISODate"](#) on page 2521

**65.1.50.8.9 RequestedSettlementDate <ReqdSttlmDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

**65.1.50.8.10 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.50.8.11 StampDuty <StmpDty>**

*Presence:* [0..1]

*Definition:* Specifies if the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2498

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**65.1.50.8.12 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.50.8.13 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C15 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1095 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1096
	IndividualFee <IndvFee>	[0..*]			1096
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**65.1.50.8.14 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2275 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2276
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277
	Basis <Bsis>	[0..1]			2278
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Amount <Amt>	[1..1]	Amount	C2, C10	2278
	Country <Ctry>	[0..1]	CodeSet	C11	2279
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2279
	ExemptionReason <XmptnRsn>	[0..1]			2279
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282
	RecipientIdentification <RcptId>	[0..1]	±		2282
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2283
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

**65.1.50.8.15 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

## EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

## EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see ["ForeignExchangeTerms37"](#) on page 1334 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1335
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1335
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1336
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1336
	ExchangeRate <XchgRate>	[1..1]	Rate		1336
	QuotationDate <QtnDt>	[0..1]	DateTime		1337
	QuotingInstitution <QtgInstn>	[0..1]	±		1337

#### 65.1.50.8.16 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of a transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see ["FundSettlementParameters15"](#) on page 2348 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2348
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2348
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2349
	DeliveringSideDetails <DlvrSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2349

**65.1.50.8.17 PhysicalTransfer <PhysTrf>***Presence:* [0..1]*Definition:* Indicates whether the financial instrument is to be physically delivered.*Datatype:* "PhysicalTransferType1Code" on page 2477

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**65.1.50.8.18 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C17 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "DeliveryParameters4" on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2070
	NameAndAddress <NmAndAdr>	[0..1]	±		2070
	ContactPerson <CtctPrsn>	[0..1]	±		2070

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**65.1.50.8.19 ClientReference <ClntRef>***Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.9 ReceiveInformation20**

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2370
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2370
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2370
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		2371
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2371
	IncomePreference <IncmPref>	[0..1]	CodeSet		2371
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2371
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2372
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2372
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2372
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2372
	StampDuty <StrmpDty>	[0..1]	CodeSet		2372
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2373
	Fees <Fees>	[0..*]	±	C15	2373
	IndividualTax <IndvTax>	[0..*]	±		2374
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2375
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2376
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2376
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2377
	ClientReference <ClntRef>	[0..1]	±		2377

### Constraints

#### • PhysicalTransferDetails1Rule

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

#### • PhysicalTransferDetails2Rule

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

**65.1.50.9.1 Transferee <Trfee>***Presence:* [0..1]*Definition:* Party that receives (transferee) securities from the delivering agent (transferor).**Transferee <Trfee>** contains the following elements (see "[PartyIdentification139](#)" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

**65.1.50.9.2 TransfereeRegisteredAccount <TrfeeRegdAcct>***Presence:* [0..1]*Definition:* Account into which the securities are to be received.**TransfereeRegisteredAccount <TrfeeRegdAcct>** contains the following elements (see "[Account31](#)" on page 1402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1402
	AccountName <AcctNm>	[0..1]	Text		1402
	Designation <Dsgnt>	[0..1]	Text		1402
	Servicer <Svcr>	[0..1]	±		1402
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1403

**65.1.50.9.3 IntermediaryInformation <IntrmyInf>***Presence:* [0..\*]*Definition:* Identification of a related party or intermediary.**IntermediaryInformation <IntrmyInf>** contains the following elements (see "[Intermediary43](#)" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

**65.1.50.9.4 SecuritiesForm <SctiesForm>**

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

**65.1.50.9.5 DematerialisedIndicator <DmtrlsdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

**65.1.50.9.6 IncomePreference <IncmPref>**

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* "IncomePreference2Code" on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**65.1.50.9.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>**

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* "BeneficiaryCertificationCompletion1Code" on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

**65.1.50.9.8 RequestedTradeDate <ReqdTradDt>**

*Presence:* [0..1]

*Definition:* Date used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

**65.1.50.9.9 RequestedSettlementDate <ReqdSttlmDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

**65.1.50.9.10 EffectiveSettlementDate <FctvSttlmDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.50.9.11 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid /to be paid or received in exchange for the financial instrument.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.50.9.12 StampDuty <StmpDty>**

*Presence:* [0..1]



*Definition:* Specifies if whether the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2498

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

### 65.1.50.9.13 NetAmount <NetAmt>

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.50.9.14 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C15 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1095 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1096
	IndividualFee <IndvFee>	[0..*]			1096
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

### Constraints

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

### 65.1.50.9.15 IndividualTax <IndvTax>

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2275 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2276
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277
	Basis <Bsis>	[0..1]			2278
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Amount <Amt>	[1..1]	Amount	C2, C10	2278
	Country <Ctry>	[0..1]	CodeSet	C11	2279
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2279
	ExemptionReason <XmptnRsn>	[0..1]			2279
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282
	RecipientIdentification <RcptId>	[0..1]	±		2282
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2283
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

#### 65.1.50.9.16 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

##### EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

##### EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1334 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1335
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1335
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1336
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1336
	ExchangeRate <XchgRate>	[1..1]	Rate		1336
	QuotationDate <QtnDt>	[0..1]	DateTime		1337
	QuotingInstitution <QtgInstn>	[0..1]	±		1337

#### 65.1.50.9.17 SettlementPartiesDetails <SttlmPtiesDtIs>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtIs>** contains the following elements (see "[FundSettlementParameters16](#)" on page 2345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2345
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2346
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2346
	ReceivingSideDetails <RcvgSdDtIs>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2346

#### 65.1.50.9.18 PhysicalTransfer <PhysTrf>

*Presence:* [0..1]

*Definition:* Indicates whether the financial instrument is to be physically delivered.

*Datatype:* "[PhysicalTransferType1Code](#)" on page 2477

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

### 65.1.50.9.19 PhysicalTransferDetails <PhysTrfDtls>

*Presence:* [0..1]

*Definition:* Parameters of a physical delivery.

*Impacted by:* C17 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "DeliveryParameters4" on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2070
	NameAndAddress <NmAndAdr>	[0..1]	±		2070
	ContactPerson <CtctPrsn>	[0..1]	±		2070

#### Constraints

- **NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

### 65.1.50.9.20 ClientReference <ClntRef>

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

### 65.1.50.10 ReceiveInformation21

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Transferee <Trfee>	[0..1]	±		2378
	TransfereeRegisteredAccount <TrfeeRegdAcct>	[0..1]	±		2379
	IntermediaryInformation <IntrmyInf>	[0..*]	±		2379
	SecuritiesForm <SctiesForm>	[0..1]	CodeSet		2379
	DematerialisedIndicator <DmtrlsdInd>	[0..1]	Indicator		2380
	IncomePreference <IncmPref>	[0..1]	CodeSet		2380
	BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>	[0..1]	CodeSet		2380
	RequestedTradeDate <ReqdTradDt>	[0..1]	Date		2380
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2381
	SettlementAmount <SttlmAmt>	[0..1]	Amount	C2, C10	2381
	StampDuty <StmpDty>	[0..1]	CodeSet		2381
	NetAmount <NetAmt>	[0..1]	Amount	C2, C10	2381
	Fees <Fees>	[0..*]	±	C15	2382
	IndividualTax <IndvTax>	[0..*]	±		2383
	ForeignExchangeDetails <FXDtls>	[0..*]	±		2383
	SettlementPartiesDetails <SttlmPtiesDtls>	[0..1]	±		2384
	PhysicalTransfer <PhysTrf>	[0..1]	CodeSet		2385
	PhysicalTransferDetails <PhysTrfDtls>	[0..1]	±	C17	2385
	ClientReference <ClntRef>	[0..1]	±		2385

### Constraints

- **PhysicalTransferDetails1Rule**

If PhysicalTransfer is PHYS (Physical), then PhysicalTransferDetails must be present.

On Condition

/PhysicalTransfer is equal to value 'Physical'

Following Must be True

/PhysicalTransferDetails Must be present

- **PhysicalTransferDetails2Rule**

If PhysicalTransfer is DEMA (Dematerialised), then PhysicalTransferDetails is not allowed.

On Condition

/PhysicalTransfer is equal to value 'Dematerialised'

Following Must be True

/PhysicalTransferDetails Must be absent

### 65.1.50.10.1 Transferee <Trfee>

Presence: [0..1]

*Definition:* Party that receives (transferee) securities from the delivering agent (transferor).

**Transferee <Trfee>** contains the following elements (see "PartyIdentification139" on page 1892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Party <Pty>	[1..1]	±		1892
	LEI <LEI>	[0..1]	IdentifierSet		1892

#### 65.1.50.10.2 TransfereeRegisteredAccount <TrfeeRegdAcct>

*Presence:* [0..1]

*Definition:* Account into which the securities are to be received.

**TransfereeRegisteredAccount <TrfeeRegdAcct>** contains the following elements (see "Account31" on page 1402 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		1402
	AccountName <AcctNm>	[0..1]	Text		1402
	Designation <Dsgnt>	[0..1]	Text		1402
	Servicer <Svcr>	[0..1]	±		1402
	SubAccountDetails <SubAcctDtls>	[0..1]	±		1403

#### 65.1.50.10.3 IntermediaryInformation <IntrmyInf>

*Presence:* [0..\*]

*Definition:* Identification of a related party or intermediary.

**IntermediaryInformation <IntrmyInf>** contains the following elements (see "Intermediary43" on page 1883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1883
	Account <Acct>	[0..1]			1884
	Identification <Id>	[0..1]	Text		1884
	AccountServicer <AcctSvcr>	[1..1]	±		1884
	Role <Role>	[0..1]	±		1884
	ContactPerson <CtctPrsn>	[0..1]	±		1885

#### 65.1.50.10.4 SecuritiesForm <SctiesForm>

*Presence:* [0..1]

*Definition:* Form, that is, ownership, of the security, that is, registered or bearer.

*Datatype:* "FormOfSecurity1Code" on page 2442

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

#### 65.1.50.10.5 DematerialisedIndicator <Dmtrlslnd>

*Presence:* [0..1]

*Definition:* Indicates whether a security exists only as an electronic record, that is, there is no physical document representing the security.

*Datatype:* One of the following values must be used (see ["YesNoIndicator"](#) on page 2533):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.50.10.6 IncomePreference <IncmPref>

*Presence:* [0..1]

*Definition:* Dividend option chosen by the account owner based on the options offered in the prospectus.

*Datatype:* ["IncomePreference2Code"](#) on page 2448

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

#### 65.1.50.10.7 BeneficiaryCertificationCompletion <BnfcryCertfctnCmpltn>

*Presence:* [0..1]

*Definition:* Beneficial owner or its designated agent certifies that it complies with any holding or investment restrictions or requirements of the fund.

*Datatype:* ["BeneficiaryCertificationCompletion1Code"](#) on page 2418

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

#### 65.1.50.10.8 RequestedTradeDate <ReqdTradDt>

*Presence:* [0..1]

*Definition:* Date to be used as the trade date when securities are settled through an International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* ["ISODate"](#) on page 2521



**65.1.50.10.9 RequestedSettlementDate <ReqdSttlmDt>**

*Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

**65.1.50.10.10 SettlementAmount <SttlmAmt>**

*Presence:* [0..1]

*Definition:* Total amount of money paid/to be paid or received in exchange for the financial instrument.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

**65.1.50.10.11 StampDuty <StmpDty>**

*Presence:* [0..1]

*Definition:* Specifies if whether the settlement amount includes the stamp duty amount.

*Datatype:* "StampDutyType2Code" on page 2498

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

**65.1.50.10.12 NetAmount <NetAmt>**

*Presence:* [0..1]

*Definition:* Deal amount.

*Impacted by:* C2 "ActiveCurrency", C10 "CurrencyAmount"

*Datatype:* "ActiveCurrencyAndAmount" on page 2410

**Constraints**

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 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.

### 65.1.50.10.13 Fees <Fees>

*Presence:* [0..\*]

*Definition:* Fee related to the transfer of the financial instrument.

*Impacted by:* C15 "FeeTaxElementRule"

**Fees <Fees>** contains the following elements (see "Fees2" on page 1095 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1096
	IndividualFee <IndvFee>	[0..*]			1096
	Type <Tp>	[1..1]			1097
{Or	Code <Cd>	[1..1]	CodeSet		1097
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Basis <Bsis>	[0..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Amount <Amt>	[1..1]	Amount	C2, C10	1099
	DiscountDetails <DscntDtls>	[0..1]		C13	1099
	Amount <Amt>	[0..1]	Amount	C2, C10	1100
	Rate <Rate>	[0..1]	Rate		1100
	Basis <Bsis>	[0..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	ChargeBearer <ChrgBr>	[0..1]	CodeSet		1101
	RecipientIdentification <RcptId>	[0..1]	±		1102

**Constraints**

- **FeeTaxElementRule**

One of the elements (CommercialAgreementReference, IndividualFee, IndividualTax) must be present.

**65.1.50.10.14 IndividualTax <IndvTax>**

*Presence:* [0..\*]

*Definition:* Tax related to the transfer of the financial instrument.

**IndividualTax <IndvTax>** contains the following elements (see "Tax38" on page 2275 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]			2276
{Or	Code <Cd>	[1..1]	CodeSet		2276
Or}	Proprietary <Prtry>	[1..1]	±		2277
	Basis <Bsis>	[0..1]			2278
{Or	Code <Cd>	[1..1]	CodeSet		2278
Or}	Proprietary <Prtry>	[1..1]	±		2278
	Amount <Amt>	[1..1]	Amount	C2, C10	2278
	Country <Ctry>	[0..1]	CodeSet	C11	2279
	ExemptionIndicator <XmptnInd>	[1..1]	Indicator		2279
	ExemptionReason <XmptnRsn>	[0..1]			2279
{Or	Code <Cd>	[1..1]	CodeSet		2279
Or}	Proprietary <Prtry>	[1..1]	±		2282
	RecipientIdentification <RcptId>	[0..1]	±		2282
	TaxCalculationDetails <TaxClctnDtls>	[0..1]			2283
	Basis <Bsis>	[0..1]			2283
{Or	Code <Cd>	[1..1]	CodeSet		2283
Or}	Proprietary <Prtry>	[1..1]	±		2283
	TaxableAmount <TaxblAmt>	[1..1]	Amount	C2, C10	2284

**65.1.50.10.15 ForeignExchangeDetails <FXDtls>**

*Presence:* [0..\*]

*Definition:* Information needed to process a currency exchange or conversion.

How the exchange rate is expressed determines which currency is the Unit Currency and Quoted Currency. If the amounts concerned are EUR 1000 and USD 1300, the exchange rate may be expressed as per either of the following examples:

## EXAMPLE 1

UnitCurrency EUR

QuotedCurrency USD

ExchangeRate 1.300

## EXAMPLE 2

UnitCurrency USD

QuotedCurrency EUR

ExchangeRate 0.769.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see "[ForeignExchangeTerms37](#)" on page 1334 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ToAmount <ToAmt>	[0..1]	Amount	C2, C10	1335
	FromAmount <FrAmt>	[0..1]	Amount	C2, C10	1335
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C2	1336
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C2	1336
	ExchangeRate <XchgRate>	[1..1]	Rate		1336
	QuotationDate <QtnDt>	[0..1]	DateTime		1337
	QuotingInstitution <QtgInstn>	[0..1]	±		1337

#### 65.1.50.10.16 SettlementPartiesDetails <SttlmPtiesDtls>

*Presence:* [0..1]

*Definition:* Chain of parties involved in the settlement of the transaction.

**SettlementPartiesDetails <SttlmPtiesDtls>** contains the following elements (see "[FundSettlementParameters16](#)" on page 2345 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TradeTransactionCondition <TradTxCond>	[0..*]	±		2345
	SettlementTransactionCondition <SttlmTxCond>	[0..*]	±		2346
	SecuritiesSettlementSystemIdentification <SctiesSttlmSysId>	[0..1]	Text		2346
	ReceivingSideDetails <RcvgSdDtls>	[0..1]	±	C7, C11, C19, C20, C21, C22, C26	2346

**65.1.50.10.17 PhysicalTransfer <PhysTrf>***Presence:* [0..1]*Definition:* Indicates whether the financial instrument is to be physically delivered.*Datatype:* "PhysicalTransferType1Code" on page 2477

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

**65.1.50.10.18 PhysicalTransferDetails <PhysTrfDtls>***Presence:* [0..1]*Definition:* Parameters of a physical delivery.*Impacted by:* C17 "NameAndAddress1Rule"

**PhysicalTransferDetails <PhysTrfDtls>** contains the following elements (see "[DeliveryParameters4](#)" on page 2069 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RegisteredAddressIndicator <RegdAdrlnd>	[1..1]	Indicator		2070
	NameAndAddress <NmAndAdr>	[0..1]	±		2070
	ContactPerson <CtctPrsn>	[0..1]	±		2070

**Constraints**

- NameAndAddress1Rule**

If RegisteredAddressIndicator is "true" or "1" (Yes), then NameAndAddress is not allowed.

If RegisteredAddressIndicator is "false" or "0" (No), then NameAndAddress must be present.

**65.1.50.10.19 ClientReference <ClntRef>***Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "[AdditionalReference10](#)" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.11 Transfer37**

*Definition:* Parameters applied to the settlement of a security transfer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransferConfirmationReference <TrfConfRef>	[1..1]	Text		2387
	TransferReference <TrfRef>	[1..1]	Text		2387
	ClientReference <ClntRef>	[0..1]	±		2387
	CounterpartyReference <CtrPtyRef>	[0..1]	±		2387
	BusinessFlowType <BizFlowTp>	[0..1]	CodeSet		2388
	RequestedSettlementDate <ReqdSttlmDt>	[0..1]	Date		2388
	EffectiveTransferDate <FctvTrfDt>	[1..1]	±		2388
	EffectiveSettlementDate <FctvSttlmDt>	[0..1]	±		2388
	TradeDate <TradDt>	[0..1]	±		2388
	TransferOrderDateForm <TrfOrdrDtForm>	[0..1]	Date		2389
	TransferReason <TrfRsn>	[0..1]	±		2389
	HoldingsPlanType <HldgsPlanTp>	[0..3]	CodeSet		2389
	FinancialInstrumentDetails <FinInstrmDtls>	[1..1]	±	C16	2389
	TotalUnitsNumber <TtlUnitsNb>	[1..1]	Quantity		2390
	TransferRate <TrfRate>	[0..1]	Rate		2390
	UnitsDetails <UnitsDtls>	[0..*]	±		2390
	Rounding <Rndg>	[0..1]	CodeSet		2391
	OriginalCost <OrgnlCost>	[0..1]	Amount	C2	2391
	AveragePrice <AvrgPric>	[0..1]	Amount	C3	2392
	NewAveragePrice <NewAvrgPric>	[0..1]	Amount	C3	2392
	AverageDate <AvrgDt>	[0..1]	Date		2392
	NewAverageDate <NewAvrgDt>	[0..1]	Date		2392
	TransferCurrency <TrfCcy>	[0..1]	CodeSet	C3	2393
	OwnAccountTransferIndicator <OwnAcctTrfInd>	[0..1]	Indicator		2393
	NonStandardSettlementInformation <NonStdSttlmInf>	[0..1]	Text		2393
	TransferExpensesPaymentType <TrfExpnssPmtTp>	[0..1]	±		2393

**Constraints**

- **TotalUnitsNumberRule**

TotalUnitsNumber must be the sum of all occurrences of UnitsDetails/UnitsNumber when UnitsDetails is present.

**65.1.50.11.1 TransferConfirmationReference <TrfConfRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer execution, as assigned by the confirming party.

*Datatype:* "Max35Text" on page 2536

**65.1.50.11.2 TransferReference <TrfRef>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier for the transfer instruction, as assigned by the instructing party.

*Datatype:* "Max35Text" on page 2536

**65.1.50.11.3 ClientReference <ClntRef>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous investor's identification of the transfer. This reference can typically be used in a hub scenario to give the reference of the transfer as assigned by the underlying client.

**ClientReference <ClntRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.11.4 CounterpartyReference <CtrPtyRef>**

*Presence:* [0..1]

*Definition:* Unambiguous identification of the transfer allocated by the counterparty.

**CounterpartyReference <CtrPtyRef>** contains the following elements (see "AdditionalReference10" on page 1349 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		1349
	ReferenceIssuer <RefIssr>	[0..1]	±		1349
	MessageName <MsgNm>	[0..1]	Text		1349

**65.1.50.11.5 BusinessFlowType <BizFlowTp>***Presence:* [0..1]

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

*Datatype:* "BusinessFlowType1Code" on page 2420

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

**65.1.50.11.6 RequestedSettlementDate <ReqdSttlmDt>***Presence:* [0..1]

*Definition:* Date and time at which the securities are to be exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

*Datatype:* "ISODate" on page 2521

**65.1.50.11.7 EffectiveTransferDate <FctvTrfDt>***Presence:* [1..1]

*Definition:* Date and time at which the transfer was executed.

**EffectiveTransferDate <FctvTrfDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.50.11.8 EffectiveSettlementDate <FctvSttlmDt>***Presence:* [0..1]

*Definition:* Date and time at which the securities were exchanged at the International Central Securities Depository (ICSD) or Central Securities Depository (CSD).

**EffectiveSettlementDate <FctvSttlmDt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

**65.1.50.11.9 TradeDate <TradDt>***Presence:* [0..1]



*Definition:* Date and time at which the transaction is completed and cleared, that is, securities are delivered.

**TradeDate <TradDt>** contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		1146
Or}	DateTime <DtTm>	[1..1]	DateTime		1146

#### 65.1.50.11.10 TransferOrderDateForm <TrfOrdDtForm>

*Presence:* [0..1]

*Definition:* Date on which the investor signed the transfer order form.

*Datatype:* ["ISODate"](#) on page 2521

#### 65.1.50.11.11 TransferReason <TrfRsn>

*Presence:* [0..1]

*Definition:* Reason for the transfer.

**TransferReason <TrfRsn>** contains one of the following elements (see ["TransferReason1Choice"](#) on page 2398 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2398
Or}	Proprietary <Prtry>	[1..1]	±		2399

#### 65.1.50.11.12 HoldingsPlanType <HldgsPlanTp>

*Presence:* [0..3]

*Definition:* Specifies information about investment plans included in the holding.

*Datatype:* ["HoldingsPlanType1Code"](#) on page 2448

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

#### 65.1.50.11.13 FinancialInstrumentDetails <FinInstrmDtls>

*Presence:* [1..1]

*Definition:* Information related to the financial instrument transferred.

*Impacted by:* [C16 "IdentificationGuideline"](#)

**FinancialInstrumentDetails <FinInstrmDtls>** contains the following elements (see "FinancialInstrument88" on page 1278 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1278
	Name <Nm>	[0..1]	Text		1279
	ShortName <ShrtNm>	[0..1]	Text		1279
	SupplementaryIdentification <SplmtryId>	[0..1]	Text		1279
	ClassType <ClsTp>	[0..1]	Text		1280
	SecuritiesForm <ScitiesForm>	[0..1]	CodeSet		1280
	DistributionPolicy <DstrbtnPlcy>	[0..1]	CodeSet		1280
	DematerialisedIndicator <DmtrlSdInd>	[0..1]	Indicator		1280

#### Constraints

- **IdentificationGuideline**

It is recommended that ISIN is used in Identification.

When an ISIN code exists, it is strongly recommended that the ISIN be used.

#### 65.1.50.11.14 TotalUnitsNumber <TtlUnitsNb>

*Presence:* [1..1]

*Definition:* Number of units transferred.

*Datatype:* "DecimalNumber" on page 2533

#### 65.1.50.11.15 TransferRate <TrfRate>

*Presence:* [0..1]

*Definition:* Quantity of securities transferred as a percentage of the holding.

*Datatype:* "PercentageRate" on page 2534

#### 65.1.50.11.16 UnitsDetails <UnitsDtls>

*Presence:* [0..\*]

*Definition:* Breakdown of units transferred.

**UnitsDetails <UnitsDtls>** contains the following elements (see "Unit12" on page 1318 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitsNumber <UnitsNb>	[1..1]	Quantity		1319
	OrderDate <OrdrDt>	[0..1]	Date		1319
	AcquisitionDate <AcqstnDt>	[0..1]	Date		1319
	CertificateNumber <CertNb>	[0..*]	Text		1320
	Group1Or2Units <Grp1Or2Units>	[0..1]	CodeSet		1320
	Reference <Ref>	[0..1]	Text		1320
	PriceDetails <PricDtls>	[0..1]	±		1320
	TransactionOverhead <TxOvrhd>	[0..1]		C18, C28	1321
	TotalOverheadApplied <TtlOvrhdApld>	[0..1]	Amount	C2, C10	1321
	TotalFees <TtlFees>	[0..1]	Amount	C2, C10	1321
	TotalTaxes <TtlTaxes>	[0..1]	Amount	C2, C10	1322
	CommercialAgreementReference <ComrcAgrmtRef>	[0..1]	Text		1322
	IndividualFee <IndvFee>	[0..*]	±	C6	1322
	IndividualTax <IndvTax>	[0..*]	±		1323
	OtherAmount <OthrAmt>	[0..*]			1324
	Type <Tp>	[1..1]			1324
{Or	Code <Cd>	[1..1]	CodeSet		1325
Or}	ProprietaryCode <PrtryCd>	[1..1]	±		1325
	Amount <Amt>	[1..1]	Amount	C2, C10	1325

#### 65.1.50.11.17 Rounding <Rndg>

*Presence:* [0..1]

*Definition:* Rounding direction applied to nearest unit.

*Datatype:* "RoundingDirection2Code" on page 2492

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

#### 65.1.50.11.18 OriginalCost <OrgnlCost>

*Presence:* [0..1]

*Definition:* Original amount paid for the asset at the point of purchase. May also be known as the book cost.

*Impacted by:* C2 "ActiveCurrency"

*Datatype:* "ActiveCurrencyAnd13DecimalAmount" on page 2409

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.1.50.11.19 AveragePrice <AvrgPric>

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account before the transfer was executed.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.1.50.11.20 NewAveragePrice <NewAvrgPric>

*Presence:* [0..1]

*Definition:* Weighted average price of the units in the account after the transfer was executed.

*Impacted by:* C3 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 2410

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.1.50.11.21 AverageDate <AvrgDt>

*Presence:* [0..1]

*Definition:* Trade date of the average weighted data of units in the account before the transfer was executed.

*Datatype:* "ISODate" on page 2521

### 65.1.50.11.22 NewAverageDate <NewAvrgDt>

*Presence:* [0..1]

*Definition:* Trade date of the average weighted data of units in the account after the transfer was executed.

*Datatype:* ["ISODate" on page 2521](#)

#### 65.1.50.11.23 TransferCurrency <TrfCcy>

*Presence:* [0..1]

*Definition:* Currency used to transfer the holdings. Some transfer agents register holdings grouped by currency in addition to using the ISIN for multi-currency fund shares.

*Impacted by:* [C3 "ActiveOrHistoricCurrency"](#)

*Datatype:* ["ActiveOrHistoricCurrencyCode" on page 2417](#)

##### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 65.1.50.11.24 OwnAccountTransferIndicator <OwnAcctTrfInd>

*Presence:* [0..1]

*Definition:* Indicates whether the transfer results in a change of beneficial owner.

*Datatype:* One of the following values must be used (see ["YesNoIndicator" on page 2533](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 65.1.50.11.25 NonStandardSettlementInformation <NonStdSttlmInf>

*Presence:* [0..1]

*Definition:* Additional specific settlement information for non-regulated traded funds.

*Datatype:* ["Max350Text" on page 2536](#)

#### 65.1.50.11.26 TransferExpensesPaymentType <TrfExpnssPmtTp>

*Presence:* [0..1]

*Definition:* Specifies how the payment of fees and taxes as a result of the transfer is covered, that is, whether by cash or the redemption of units.

**TransferExpensesPaymentType <TrfExpnssPmtTp>** contains one of the following elements (see ["ChargePaymentMethod1Choice" on page 1085](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1085
Or}	Proprietary <Prtry>	[1..1]	±		1085

## 65.1.51 Transfer Status

### 65.1.51.1 TransferCancellationPendingStatus1

*Definition:* Transfer cancellation status is in pending.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	Text		2394

#### 65.1.51.1.1 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Reason for the cancellation pending status.

*Datatype:* "Max350Text" on page 2536

### 65.1.51.2 RejectionReason50

*Definition:* Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2394
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2397
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2397

#### Constraints

- **OtherRule**

If Reason/Code/OTHE (Other) is present, then AdditionReasonInformation must be present and the reason for the rejection status must be provided.

#### 65.1.51.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2394
Or}	Proprietary <Prtry>	[1..1]	±		2397

##### 65.1.51.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

*Datatype:* "RejectedStatusReason12Code" on page 2488

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer

CodeName	Name	Definition
		request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, eg, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.



CodeName	Name	Definition
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, eg, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

#### 65.1.51.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.51.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected status reason.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.51.3 TransferStatusType1Choice

*Definition:* Choice of formats for a type of status or event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2397
Or}	Proprietary <Prtry>	[1..1]	±		2398

##### 65.1.51.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of event expressed as a code.

*Datatype:* "[TransferStatusType1Code](#)" on page 2514

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.

CodeName	Name	Definition
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.

#### 65.1.51.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of event expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.51.4 TransferReason1Choice

*Definition:* Choice between formats for a transfer reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2398
Or}	Proprietary <Prtry>	[1..1]	±		2399

#### 65.1.51.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Transfer reason expressed as an ISO 20022 code.

*Datatype:* "TransferReason1Code" on page 2513

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.

CodeName	Name	Definition
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g. investigation required by fiscal authority or police).
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

#### 65.1.51.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Transfer reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification27](#)" on page 1364 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1364
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[1..1]	Text		1365

#### 65.1.51.5 CancellationPendingStatus7Choice

*Definition:* Reason for the cancellation pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2400
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2400
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2400

**65.1.51.5.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the cancellation pending status.*Datatype:* "Max350Text" on page 2536**65.1.51.5.2 DataSourceScheme <DataSrcSchme>***Presence:* [1..1]*Definition:* Proprietary identification of the reason for the cancellation pending status.**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

**65.1.51.5.3 NoSpecifiedReason <NoSpdfdRsn>***Presence:* [1..1]*Definition:* Indicates that there is no reason available or to report.*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

**65.1.51.6 ReversedStatus2Choice***Definition:* Reason for the reversed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2400
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2400
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2401

**65.1.51.6.1 Reason <Rsn>***Presence:* [1..1]*Definition:* Reason for the reversal status.*Datatype:* "Max350Text" on page 2536**65.1.51.6.2 DataSourceScheme <DataSrcSchme>***Presence:* [1..1]*Definition:* Proprietary identification of the reason for the reversed status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.51.6.3 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.51.7 CancelledStatus13Choice

*Definition:* Reason for the cancelled status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2401
Or	Reason <Rsn>	[1..1]	CodeSet		2401
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2402
Or}	DataSourceScheme <DataSrcSchme>	[1..1]	±		2402

#### 65.1.51.7.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.51.7.2 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled status.

*Datatype:* "[CancelledStatusReason3Code](#)" on page 2422

CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

#### 65.1.51.7.3 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled status.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.51.7.4 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the cancelled status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.51.8 FailedSettlementStatus2Choice

*Definition:* Reason for the failed settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2402
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2402
Or}	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		2403

##### 65.1.51.8.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the failed settlement status.

*Datatype:* "Max350Text" on page 2536

##### 65.1.51.8.2 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the failed settlement status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.51.8.3 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "[NoReasonCode](#)" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 65.1.51.9 InRepairStatus4Choice

*Definition:* Reason for the in repair status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	Text		2403
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2403
Or}	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		2404

#### 65.1.51.9.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the in-repair status.

*Datatype:* "[Max350Text](#)" on page 2536

#### 65.1.51.9.2 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the in-repair status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "[GenericIdentification1](#)" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

### 65.1.51.9.3 NoSpecifiedReason <NoSpdfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 65.1.51.10 PendingSettlementStatus3Choice

*Definition:* Reason for the pending settlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Reason <Rsn>	[1..1]	CodeSet		2404
Or	ExtendedReason <XtndedRsn>	[1..1]	Text		2406
Or	DataSourceScheme <DataSrcSchme>	[1..1]	±		2406
Or}	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		2406

#### 65.1.51.10.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the settlement pending status.

*Datatype:* "PendingSettlementStatusReason2Code" on page 2473

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example, conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.



CodeName	Name	Definition
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.

CodeName	Name	Definition
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

#### 65.1.51.10.2 ExtendedReason <XtndedRsn>

*Presence:* [1..1]

*Definition:* Reason for the settlement pending status.

*Datatype:* "Extended350Code" on page 2534

#### 65.1.51.10.3 DataSourceScheme <DataSrcSchme>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason for the pending settlement status.

**DataSourceScheme <DataSrcSchme>** contains the following elements (see "GenericIdentification1" on page 1365 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1365
	SchemeName <SchmeNm>	[0..1]	Text		1365
	Issuer <Issr>	[0..1]	Text		1365

#### 65.1.51.10.4 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* "NoReasonCode" on page 2468

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 65.1.51.11 CancelledCompleteReason1

*Definition:* Reason for a cancelled completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2407
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2407

#### 65.1.51.11.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the cancelled complete status.

**Reason <Rsn>** contains one of the following **CancellationCompleteReason1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2407
Or}	Proprietary <Prtry>	[1..1]	±		2407

##### 65.1.51.11.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Cancelled complete reason expressed as a code.

*Datatype:* "CancelledStatusReason1Code" on page 2421

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

##### 65.1.51.11.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Cancelled complete reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.51.11.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the cancelled complete status reason.

Datatype: "Max350Text" on page 2536

### 65.1.51.12 RejectionReason33

*Definition:* Information about a rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			2408
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		2409

#### 65.1.51.12.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**Reason <Rsn>** contains one of the following **RejectedReason17Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		2408
Or}	Proprietary <Prtry>	[1..1]	±		2408

##### 65.1.51.12.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a code.

Datatype: "CancellationRejectedReason1Code" on page 2420

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

##### 65.1.51.12.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejected reason expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification36](#)" on page 1359 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1360
	Issuer <Issr>	[1..1]	Text		1360
	SchemeName <SchmeNm>	[0..1]	Text		1360

#### 65.1.51.12.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejected status reason.

*Datatype:* "[Max350Text](#)" on page 2536

## 65.2 Message Datatypes

### 65.2.1 Amount

#### 65.2.1.1 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	" <a href="#">ActiveCurrencyCode</a> " on page 2417

#### 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.

### 65.2.1.2 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 2417

#### 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.

### 65.2.1.3 ActiveOrHistoricCurrencyAnd13DecimalAmount

*Definition:* A number of monetary units specified in an active or a historic currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

*Type:* Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	"ActiveOrHistoricCurrencyCode" on page 2417

#### Format

minInclusive	0
totalDigits	18

fractionDigits

13

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**65.2.1.4 ActiveOrHistoricCurrencyAndAmount**

*Definition:* A number of monetary units specified in an active or a historic currency where the unit of currency is explicit and compliant with ISO 4217.

*Type:* Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	"ActiveOrHistoricCurrencyCode" on page 2417

**Format**

minInclusive	0
totalDigits	18
fractionDigits	5

**Constraints**

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

**65.2.1.5 ImpliedCurrencyAndAmount**

*Definition:* Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

*Type:* Amount

**Format**

minInclusive	0
--------------	---

totalDigits	18
fractionDigits	5

## 65.2.2 CodeSet

### 65.2.2.1 AcceptedStatusReason1Code

*Definition:* Specifies the reason for an accepted status.

*Type:* CodeSet

CodeName	Name	Definition
PLAC	PlaceNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the place.
SECT	SectorNotAllowed	Status of the account modification instruction is accepted but modification of the account data will not be carried out for the sector code.

### 65.2.2.2 AccountingStatus1Code

*Definition:* Specifies the accounting status.

*Type:* CodeSet

CodeName	Name	Definition
YDOM	Domestic	Account or party is regarded as domestic for reporting purposes.
NDOM	NotDomestic	Account or party is not regarded as domestic for reporting purposes.

### 65.2.2.3 AccountManagementStatus1Code

*Definition:* Specifies the status of an account management instruction.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	The account management instruction has been received and is acknowledged.
ACCP	Accepted	The account management instruction has been validated and accepted.
EXEC	ProcessingOngoing	The account management instruction is being processed and the confirmation will follow.
STNP	SentToNextParty	The account management instruction has been sent to the next party, for example, the next intermediary.



#### 65.2.2.4 AccountManagementType2Code

*Definition:* Refer to an account management instruction ie, either an account opening instruction or an account modification instruction or a get account details message.

*Type:* CodeSet

CodeName	Name	Definition
ACCO	AccountOpening	Refers to an account opening instruction message.
ACCM	AccountModification	Refers to an account modification instruction message.
GACC	GetAccountDetails	Refers to a get account details message.

#### 65.2.2.5 AccountManagementType3Code

*Definition:* Specifies the instruction for which an status is required.

*Type:* CodeSet

CodeName	Name	Definition
ACCM	AccountModification	Refers to an account modification instruction message.
ACCO	AccountOpening	Refers to an account opening instruction message.
GACC	GetAccountDetails	Refers to a get account details message.
ACST	AccountStatus	Refers to the account status.

#### 65.2.2.6 AccountOpeningType1Code

*Definition:* Specifies the type of account to which an account opening request is related, eg, a new account.

*Type:* CodeSet

CodeName	Name	Definition
NEWA	NewAccountOpening	Account request is to open a new account.
SUPA	SupplementaryAccountOpening	Account request is to open a supplementary account, that is, based on an existing account.

#### 65.2.2.7 AccountOwnershipType4Code

*Definition:* Specifies the type of account ownership.

*Type:* CodeSet

CodeName	Name	Definition
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
ENTR	Entrepreneurial	Entrepreneurial account.

CodeName	Name	Definition
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.

### 65.2.2.8 AccountOwnershipType6Code

*Definition:* Specifies the type of account ownership.

*Type:* CodeSet

CodeName	Name	Definition
BOWN	BareOwner	A person has bare ownership on the asset.
CORP	Corporation	Account owner is a corporate.
CUST	CustodialAccount	Minor's account, registered in the minor's name. Since the minor cannot legally own property, the custodian of the account maintains control of the account.
ENTR	Entrepreneurial	Entrepreneurial account.
EURE	EUResidualEntity	Account owner is an entity located in the European Union which can be considered neither as a legal entity (for example, company, corporate), nor as an individual person, nor as a UCITS (Undertakings for Collective Investment of Transferable Securities) fund.
PART	FormalPartnership	Account owner is a contractual business organisation in which two or more individuals agree to pool their funds to manage and operate a business.
TRUS	FormalTrust	Account owner is an organisation which is engaged as a trustee for individuals or businesses in the administration of services such as stock transfer, registration, trust funds.
GOVO	GovernmentOrganisation	Account owner is a government organisation.
JOIT	JointAccount	Two or more individuals of legal age own shares of the same account.
COMO	JointAccountInCommon	Two or more individuals of legal age own shares of the same account. Upon the death of one of the account owners, the respective percentage of the ownership is transferred to the deceased's estate.
JOIN	JointAccountWithSurvivorshipRights	Two or more individuals own shares of the same account. Upon the death of one of the account owners, the entire account ownership is passed onto the surviving owners.
LLCO	LimitedLiabilityCompany	Account is for a limited liability company.
LIPA	LimitedPartnership	Account owner is a limited partnership or is of sole proprietorship.
NOMI	Nominee	Account owner is a person or firm into whose name securities or other properties are transferred in order to facilitate transactions whilst leaving the customer as the actual owner.

CodeName	Name	Definition
NFPO	NonProfitOrganisation	Account owner is an association that is given tax-free status due to the nature of their activities such as charity organisation.
ONIS	OtherNonIndividual	Account owner is another type of non individual organisation.
OWNR	Owner	A person has full ownership on the asset.
RGIC	RegisteredInvestmentCompany	Account is for a registered investment company.
SIGL	SingleOwnerAccount	Account has only one individual owner.
UNCO	Unincorporated	Account owner is an unincorporated partnership or is of sole proprietorship.
USUF	Usufructuary	The person is ...

#### 65.2.2.9 AccountStatusUpdateInstruction1Code

*Definition:* Specifies the type of account status update instructed.

*Type:* CodeSet

CodeName	Name	Definition
CLOS	Close	Account is to be closed.
REAC	Reactive	Account is to be reactivated, any previous instruction to close the account is rescinded.

#### 65.2.2.10 AccountStatusUpdateRequestReason1Code

*Definition:* Sepcifies the reason for a request for a change to an account status.

*Type:* CodeSet

CodeName	Name	Definition
CLOE	AccountClosureInstructionError	Previous account closure instruction was sent in error.

#### 65.2.2.11 AccountUsageType2Code

*Definition:* Specifies the type of usage of the account.

*Type:* CodeSet

CodeName	Name	Definition
INVE	Investor	Investor.
ISSP	IssuingParticipant	Issuing participant.
SETP	SettlementParticipant	Settlement participant.
TRDP	TradingParticipant	Trading participant.

### 65.2.2.12 ActiveCurrencyCode

*Definition:* A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

*Type:* CodeSet

#### Format

pattern [A-Z]{3,3}

#### Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

### 65.2.2.13 ActiveOrHistoricCurrencyCode

*Definition:* A code allocated to a currency by a Maintenance Agency under an international identification scheme, as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

*Type:* CodeSet

#### Format

pattern [A-Z]{3,3}

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 65.2.2.14 AddressType1Code

*Definition:* Specifies the type of address.

*Type:* CodeSet

CodeName	Name	Definition
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.

### 65.2.2.15 AddressType2Code

*Definition:* Specifies the type of address.

*Type:* CodeSet

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

### 65.2.2.16 AnnualChargePaymentType1Code

*Definition:* Specifies how a charge is to be deducted.

*Type:* CodeSet

CodeName	Name	Definition
CAPL	Capital	Annual charge is deducted from the fund capital.
INCO	Income	Annual charge is deducted from the fund income.

### 65.2.2.17 ApplicableRules1Code

*Definition:* Specifies applicable rules.

*Type:* CodeSet

CodeName	Name	Definition
NPRE	NotPreADay	Pre A Day rules do not apply.
YPRE	PreADay	Pre A Day rules applies.

### 65.2.2.18 BeneficiaryCertificationCompletion1Code

*Definition:* Specifies the type of certification completion required for a beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
NCER	CertificationNotRequired	Certification is not required for this fund.
ELEC	ElectronicCertification	Electronic certification is acceptable.
PHYS	PhysicalCertification	Electronic certification is not acceptable and is required in physical form.

### 65.2.2.19 BeneficiaryType1Code

*Definition:* Specifies a type of beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
DEPE	Dependent	Beneficiary is a dependent.
NOMI	Nominee	Beneficiary is a nominee.
SUCC	Successor	Beneficiary is a successor.

#### 65.2.2.20 BestExecution1Code

*Definition:* Specifies whether best execution rules as defined in the EU MiFID directive were followed for a transaction.

*Type:* CodeSet

CodeName	Name	Definition
BTEX	Best	Best execution rules were followed.

#### 65.2.2.21 BlockedReason2Code

*Definition:* Specifies the reason an account is blocked.

*Type:* CodeSet

CodeName	Name	Definition
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.

#### 65.2.2.22 BusinessDayConvention1Code

*Definition:* Indicates how a date is adjusted when it falls on a non-business day.

*Type:* CodeSet

CodeName	Name	Definition
FWNG	Following	The date will be the first following day that is a business day.
PREC	Preceding	The date will be the first preceding day that is a business day.

#### 65.2.2.23 BusinessFlowDirectionType1Code

*Definition:* Identifies the business flow, in order to determine the role of the parties in the business process. This indicator is very important when there are multiple intermediaries in the exchange of information process.

Type: CodeSet

CodeName	Name	Definition
ADLV	AssetstoBeDelivered	Assets to be delivered.
ARCV	AssetsToBeReceived	Assets to be received.

#### 65.2.2.24 BusinessFlowType1Code

*Definition:* Identifies the business process in which the actors are involved. This is important to trigger the right business process, according to the market business model, which may require matching instructions in a CSD environment (double leg process) or not (single leg process).

Type: CodeSet

CodeName	Name	Definition
SLDP	SingleLegDeliveringParty	Single leg process initiated by the delivering party.
SLRP	SingleLegReceivingParty	Single leg process initiated by the receiving party.
DLPR	DoubleLegProcess	Double leg process.

#### 65.2.2.25 CalculationBasis2Code

*Definition:* Specifies the calculation basis.

Type: CodeSet

CodeName	Name	Definition
AVER	Average	Average basis.
DAIL	Daily	Daily basis.
MNTH	Monthly	Monthly basis.
YEAR	Annual	Yearly basis.

#### 65.2.2.26 CancellationRejectedReason1Code

*Definition:* Specifies the reason for a cancellation rejected status.

Type: CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.

#### 65.2.2.27 CancellationRight1Code

*Definition:* Specifies if the investor has the right to cancel an instruction or, if not, the reason the investor cannot cancel.

Type: CodeSet



CodeName	Name	Definition
VALI	Entitled	Investor is entitled to a "cooling off" period with cancellation rights under compliance rules.
NOXO	ExecutionOnly	Investor is not entitled to cancellation rights under compliance rules, as the investor is an execution's only client.
NOWA	WaiverAgreement	Investor is not entitled to cancellation rights under compliance rules as the investor has agreed to waive those rights.
NOIN	Institutional	Investor is not entitled to cancellation rights under compliance rules as the investor is a financial institution.

### 65.2.2.28 CancellationStatus5Code

*Definition:* Specifies the cancellation status.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	Cancellation instruction/request has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
PACK	Accepted	Cancellation instruction / request has been received and has been acknowledged / accepted for further processing.
STNP	SentToNextParty	Cancellation instruction/request has been sent to the next party, that is, the next intermediary.

### 65.2.2.29 CancelledStatusReason1Code

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Transaction is cancelled by the agent.

### 65.2.2.30 CancelledStatusReason2Code

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CANH	CancelledByHub	Transaction is cancelled by the hub.

CodeName	Name	Definition
CANP	CancelledByInstructingParty	Transaction is cancelled by the instructing party.
CXLR	EndOfLife	Transaction is rejected by the executing party, the rejection is final therefore the order is cancelled in the system.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, eg, a market infrastructure such as a stock exchange.

### 65.2.2.31 CancelledStatusReason3Code

*Definition:* Specifies the underlying reason for cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CNTA	CancelledByTransferAgent	Transaction is cancelled by the transfer agent.
CNCL	CancelledByClient	Transaction is cancelled by the client.
CNIN	CancelledByIntermediary	Transaction is cancelled by the intermediary.

### 65.2.2.32 CardType1Code

*Definition:* Specifies the type of payment card.

*Type:* CodeSet

CodeName	Name	Definition
CRDT	CreditCard	Card where the holder has been granted a line of credit. The card enables the holder to make purchases and withdraw cash up to a pre-arranged ceiling.
DBIT	DebitCard	Card enabling the holder to have its purchases directly charged to its account. The card may also combine other functions, for example, cash card or cheque guaranteed card.

### 65.2.2.33 CashAccountType5Code

*Definition:* Specifies the type of cash account.

*Type:* CodeSet

CodeName	Name	Definition
LEND	Lending	Account is for the coverage of lending.
COLL	Collateral	Account is for collateral.
SETT	FinancialSettlement	Account is for financial settlements.
MARR	MarginReturn	Account is for margin returns.
SEGT	Segregated	Account is an segregated account.

### 65.2.2.34 CashAssetType1Code

*Definition:* Specifies a source of the cash asset.

*Type:* CodeSet

CodeName	Name	Definition
CSH2	CashInHolding	Cash is cash in the holding not yet invested.
CSH1	CashInvestment	Cash is attributed to a cash investment.

### 65.2.2.35 CertificateType2Code

*Definition:* Specifies the type of certificate.

*Type:* CodeSet

CodeName	Name	Definition
AMLC	AntiMoneyLaundering	Anti-money laundering certification form.
DVLC	DrivingLicense	Government issued form of picture identification - driving license.
DFOR	DueFormationAndOrganisation	Certification of due formation and organisation.
GOST	GoodStanding	Certificate of good standing.
IDEN	IdentityCard	Government issued form of picture identification - identity card.
INCU	Incumbency	Certification of incumbency.
LREF	LetterOfReference	Letter of reference.
PASS	Passport	Government issued form of picture identification - passport.
PRAD	ProofOfAddress	Proof of the address, such as a utility bill.
PKIC	PublicKeyInfrastructureCertificate	Public key infrastructure certificate.

### 65.2.2.36 ChargeBearer1Code

*Definition:* Specifies which party(ies) will pay charges due for processing of the payment transaction.

*Type:* CodeSet

CodeName	Name	Definition
OUR	BorneByDebtor	All transaction charges are to be borne by the debtor.
BEN	BorneByCreditor	All transaction charges are to be borne by the creditor.
SHA	Shared	Under the credit transfer scenario, transaction charges on the sender's side are to be borne by the debtor; transaction charges on the receiver's side are to be borne by the creditor.

### 65.2.2.37 ChargePaymentMethod1Code

*Definition:* Specifies how expenses are paid.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Payment is with cash.
UNIT	Unit	Units are redeemed to cover payment.

### 65.2.2.38 ChargeType12Code

*Definition:* Type of service for which a charge is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.
DISC	Discount	Charge that has been reduced from the standard initial charge levied by a fund, eg, during a launch period or as negotiated by a funds supermarket / discount broker.
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, eg, Securities and Exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Charges, drawdown, or other reduction from or in addition to the deal price.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.

### 65.2.2.39 ChargeType9Code

*Definition:* Specifies the type of service for which a charge is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
MANF	ManagementFee	Fee paid to an investment manager for services. The fee usually includes fund administration costs and investor relationship management. Typically, the amount paid is a percentage of the assets under management.
BEND	BackEndLoad	Sales charge paid by the investor when redeeming an investment such as an investment fund.

CodeName	Name	Definition
FEND	FrontEndLoad	Sales charge paid immediately by the investor when subscribing to an investment such as an investment fund.
ADVI	AdvisoryFee	Fee paid for advisory services rendered.
CUST	CustodyFee	Fee paid to a custodian in respect of custodial services.
PUBL	PublicationFee	Fee paid in respect of publications made.
ACCT	AccountingFee	Fee paid for accounting services rendered.
EQUL	Equalisation	The part of an investor's subscription amount that is held by the fund in order to pay incentive or performance fees at the end of the fiscal year.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

#### 65.2.2.40 CivilStatus1Code

*Definition:* Specifies the civil status of a person.

*Type:* CodeSet

CodeName	Name	Definition
DIVO	Divorced	Person is divorced.
LDIV	LegallyDivorced	Person is legally divorced.
MARR	Married	Person is married.
SEPA	Separated	Person is separated.
SING	Single	Person is single.
UNIO	StableUnion	Person is in a stable union.
WIDO	Widow	Person is a widower.

#### 65.2.2.41 ClosedStatusReason1Code

*Definition:* Specifies the reason for the closed status.

*Type:* CodeSet

CodeName	Name	Definition
ASIN	AccountServicerInstruction	Account is closed, following an instruction from the account servicer to close the account.
CLIN	ClientInstruction	Account is closed, following an instruction from the client, or an authorised party, to close the account.

#### 65.2.2.42 ClosurePendingStatusReason1Code

*Definition:* Specifies the reason for the closure pending status.

Type: CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
PEND	PendingConditions	Account will be closed when conditions are met.

#### 65.2.2.43 Collateral1Code

*Definition:* Specifies whether the item is used as collateral.

Type: CodeSet

CodeName	Name	Definition
COLL	Collateral	Item is used as collateral.
NCOL	NotCollateral	Item is not used as collateral.

#### 65.2.2.44 CommissionType6Code

*Definition:* Specifies the type of investment fund commission.

Type: CodeSet

CodeName	Name	Definition
FEND	FrontEndLoad	Commission for subscribing to an investment, paid at the time of the subscription.
BEND	BackEndLoad	Commission for redeeming an investment, when an investor redeems an investment fund within a certain period of time.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.

#### 65.2.2.45 CommunicationMethod1Code

*Definition:* Communication method used for the transmission of documents.

Type: CodeSet

CodeName	Name	Definition
SWMT	SWIFTMT	Transmission by Swift (FIN).
SWMX	SWIFTMX	Transmission by SWIFTNET.
FAXI	Fax	Transmission by fax.
EMAL	Email	Transmission by e-mail.
PROP	Proprietary	Transmission by proprietary method.

#### 65.2.2.46 CompanyLink1Code

*Definition:* Specifies the type of links to a company.

Type: CodeSet

CodeName	Name	Definition
AGEN	Agent	Autonomous agent accredited by the broker.
BROK	Broker	Employee, operator or agent of the broker.
PART	BrokeragePartner	Brokerage partner or shareholder, individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.
MEMB	MemberBroker	Member broker of a financial conglomerate (person is a board member, director, officer and employee of a member company of the conglomerate).
PCOM	ParentCompany	Parent company of the broker.
RELA	Relative	Spouse or partner and child of an employee, operator or agent of the broker; agent of the broker; brokerage partners or shareholders; individual or entity who holds a direct or an indirect control function and the holder of a management or an administration position.

#### 65.2.2.47 ConditionallyAcceptedStatusReason2Code

*Definition:* Specifies the reason for a conditionally accepted status.

*Type:* CodeSet

CodeName	Name	Definition
DOCC	AwaitingDocuments	Order is pending until documents are completed and received, eg, legal documents from the successor, legal proceeds because of bankruptcy, missing signature.
AWRM	AwaitingRedemptionMoney	Order is accepted for further processing but the execution of the order is pending until there are enough funds in the account to complete the redemption.
AWSM	AwaitingSubscriptionMoney	Order is accepted for further processing but the execution of the order is pending until there is enough cash in the account to pay the subscription.
DUPL	PossibleDuplicate	Order is accepted for further processing pending the result of the investigation for possible duplicates.
CRED	TradingLimitExceeded	Order is accepted for further processing pending the extension of the trading limit.

#### 65.2.2.48 ConductClassification1Code

*Definition:* Specifies the classification of the conduct.

Type: CodeSet

CodeName	Name	Definition
NSTA	NonStandard	Non standard or unusual.
RCLT	Reluctant	Reluctant.
STAN	Standard	Standard.

### 65.2.2.49 ConfirmationCancellationReason1Code

Definition: Specifies the reason why a confirmation is cancelled.

Type: CodeSet

CodeName	Name	Definition
CSHN	CashNotReceived	Confirmation is cancelled because the cash has not been received.
REPL	ConfirmationReplacement	Confirmation is cancelled because it will be replaced.
BENA	IncorrectBackEndLoadAmount	Confirmation is cancelled because the back end load amount is incorrect.
CSHW	IncorrectCashAmount	Confirmation is cancelled because the cash amount is incorrect.
DISA	IncorrectDiscountAmount	Confirmation is cancelled because the discount amount is incorrect.
DISC	IncorrectDiscountAmountCurrency	Confirmation is cancelled because the discount amount has an incorrect currency.
EXCH	IncorrectExchangeRate	Confirmation is cancelled because the exchange rate is incorrect.
FEEE	IncorrectFeeOrCommission	Confirmation is cancelled because a fee or commission amount is incorrect.
DQUA	IncorrectFinancialInstrumentQuantity	Confirmation is cancelled because the financial instrument quantity is incorrect.
FENA	IncorrectFrontEndLoadAmount	Confirmation is cancelled because the front end load amount is incorrect.
GROA	IncorrectGrossAmount	Confirmation is cancelled because the gross amount is incorrect.
GROC	IncorrectGrossAmountCurrency	Confirmation is cancelled because the gross amount has an incorrect currency.
NETA	IncorrectNetAmount	Confirmation is cancelled because the net amount is incorrect.
NETC	IncorrectNetAmountCurrency	Confirmation is cancelled because the net amount has an incorrect currency.
OPER	IncorrectOperation	Confirmation is cancelled because of an incorrect operation.
MINI	IncorrectQuantityUnitsOrCash	Confirmation is cancelled because of an incorrect minimum traded quantity or cash amount.



CodeName	Name	Definition
DMON	IncorrectSettlementAmount	Confirmation is cancelled because the settlement amount is incorrect.
NCRR	IncorrectSettlementAmountCurrency	Confirmation is cancelled because the settlement amount has an incorrect currency.
DDAT	IncorrectSettlementDate	Confirmation is cancelled because the settlement date is incorrect.
SETS	IncorrectSettlementMethod	Confirmation is cancelled because the settlement method is incorrect.
DDEA	IncorrectTradeDate	Confirmation is cancelled because the trade date is incorrect.
REFE	InvalidReference	Confirmation contains an invalid business reference.

### 65.2.2.50 ConsolidationType1Code

*Definition:* Specifies the consolidation type.

*Type:* CodeSet

CodeName	Name	Definition
GENL	General	Consolidation is general.
PART	Participation	Consolidation is at the level of the participant.

### 65.2.2.51 CorporateActionEventType1Code

*Definition:* Specifies the type of corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or Sicavs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
DVCA	CashDividend	Event is a distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. The shareholder must take cash and is not offered a choice in the form of distribution.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose

CodeName	Name	Definition
		the form of payment - stock, cash, or both.
DVSE	StockDividend	Event is a dividend paid to shareholders in the form of shares of stock in the issuing company or in another company. The shareholder must take stock and is not offered a choice in the form of distribution.
LIQU	Liquidation	Event is a liquidating dividend or liquidation that consists of a distribution of cash, assets, or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. The security holder may be able to choose the form of liquidation distribution.
MRGR	Merger	Event is a mandatory or voluntary exchange of outstanding securities as the result of two or more companies combining assets. Cash payments may accompany share exchange.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
SOFF	SpinOff	Event is a demerger or distribution or an unbundling. It is a distribution of subsidiary stock to the shareholders of the parent company without a surrender of shares. A spin-off represents a form of divestiture resulting in an independent company. Normally this is without cost to the parent issue shareholder.
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.
TEND	Tender	Event is an acquisition or take-over or offre publique de retrait (FR) or purchase offer or buy-back. It is an offer made to shareholders requesting them to sell (tender) their shares for a specified price usually at a premium over prevailing market price. Generally, the objective of

CodeName	Name	Definition
		a tender offer is to take control of the target company.
BONU	BonusIssue	Event is a bonus issue or scrip issue or capitalisation issue. Security holders are awarded additional assets free of payment from the issuer in proportion to their holding. A bonus issue is typically represented by shares, rights or warrants. Nominal value doesn't change. Holder may be offered choice of form.
RHDI	RightsDistribution	Event is the distribution of rights to shareholders, in proportion to their equity holding.
EXRI	CallOnRights	Event is a call or exercise on nil-paid securities or rights resulting from a rights distribution (RHDI). This is to be used for the second event in those cases where the rights issue is dealt with in two events, the first event being the rights distribution (RHDI).
CHAN	Change	Event is a generic change. For example, a change in the terms of an issue, a change in the identification of a security, change of a board lot, a change from global to definitive.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a financial instrument is restated, eg, the debt in a national currency is restated in euro.
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXOF	ExchangeOffer	Event is an exchange offer or capital reorganisation.  It is an offer to shareholders to exchange their holdings for other securities and/or cash. Exchange offers are usually voluntary involving the exchange of outstanding security for a different security or securities and/or cash.
DECR	DecreaseInValue	Event is a reduction of the share capital and face value of a single share. The number of the circulating shares remains unchanged. It may include a capital payout to shareholder.

### 65.2.2.52 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).

**65.2.2.53 CreditDebit3Code**

*Definition:* Specifies if an operation is an increase or a decrease.

*Type:* CodeSet

CodeName	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

**65.2.2.54 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.

**65.2.2.55 CRSFormType1Code**

*Definition:* Specifies the type of Common Reporting Standard (CRS) form.

*Type:* CodeSet

CodeName	Name	Definition
CER4	CertificateIdentificationGovernment	Certificate of Identification issued by a government.
CER3	CertificateOfResidence	Certificate of residence.
CER5	OfficialDocumentGovernmentForEntity	Official documentation issued by a government for the entity.
CER6	OtherDocumentOrReport	Financial statement, third party credit report, bankruptcy filing or a securities regulator report.
CER8	PublicInformationEntity	Publicly available information for the entity.
CER1	SelfCertificationSeparateDocument	Self certification as a separate document.
CER2	SelfCertificationWithAccountOpeningContract	Self certification as a document included into contract of the account opening.

CodeName	Name	Definition
CER7	Standardised	Standardised industry coding system for the entity.

### 65.2.2.56 CRSSourceStatus1Code

*Definition:* Specifies the source of Common Reporting Standard (CRS) status.

*Type:* CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Common Reporting Standard (CRS) status is calculated.
DECL	Declared	Source of the Common Reporting Standard (CRS) status is as declared by the investor.

### 65.2.2.57 CRSStatus1Code

*Definition:* Specifies the Common Reporting Status (CRS) status.

*Type:* CodeSet

CodeName	Name	Definition
C101	CRS101	Account holder type is a passive non-financial entity with one or more controlling persons that are foreign persons.
C102	CRS102	Account holder type is a foreign person.
C103	CRS103	Account holder type is a passive foreign non-financial entity without controlling persons that are foreign persons.
C104	CRS104	Account holder type is a financial institution such as a depository, a custodial institution or a specified insurance company.
C105	CRS105	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution without one or more controlling persons that are foreign persons.
C106	CRS106	Account holder type is a financial institution such as an investment entity of a non-participating jurisdiction and managed by another financial institution with one or more controlling persons that are foreign persons.
C107	CRS107	Account holder type is a financial institution such as another investment entity.
C108	CRS108	Account holder type is an active non-financial entity such as a corporation for which the stock is regularly traded on an established securities market.

CodeName	Name	Definition
C109	CRS109	Account holder type is an active non-financial entity such as a corporation which is a related entity of a corporation for which the stock is regularly traded on an established securities market.
C110	CRS110	Account holder type is an active non-financial entity such as a government entity.
C111	CRS111	Account holder type is an active non-financial entity such as a central bank.
C112	CRS112	Account holder type is an active non-financial entity such as an international organisation.
C113	CRS113	Account holder type is not a foreign person.
C114	CRS114	Account holder type is a financial institution such as an investment entity of a participating jurisdiction and managed by another financial institution.

#### 65.2.2.58 CurrencyDesignation1Code

*Definition:* Specifies whether a currency is settled offshore or onshore.

*Type:* CodeSet

CodeName	Name	Definition
ONSH	Onshore	Onshore.
OFFS	Offshore	Offshore.

#### 65.2.2.59 DataModification1Code

*Definition:* Specified the type of modification to be applied on a data set.

*Type:* CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
UPDT	UpdateDataSetDetails	Update the details of an existing set of data.
DELT	DeleteDataSet	Delete an existing set of data.

#### 65.2.2.60 DataModification2Code

*Definition:* Specified the type of modification to be applied on a data set.

*Type:* CodeSet

CodeName	Name	Definition
INSE	InsertNewDataSet	Insert a new set of data.
DELT	DeleteDataSet	Delete an existing set of data.

### 65.2.2.61 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).

### 65.2.2.62 DisabledReason2Code

*Definition:* Specifies the reason an account is disabled.

*Type:* CodeSet

CodeName	Name	Definition
CLOS	AccountClosingInProgress	Account closing is in process.
BKRP	Bankruptcy	Bankruptcy.
CMMT	Commitment	Commitment.
CNFS	Confiscation	Confiscation.
MORT	MortisCausa	Reserved in contemplation of death.
PCOM	PendingComplianceVerification	Pending compliance verification.
PLDG	Pledged	Pledged.
TRPE	Reregistration	Reregistration.
SANC	Sanctions	Sanctions are in place.
TRAN	Transfer	Transfer.
REJT	Rejected	Account was pending opening but is now rejected.

### 65.2.2.63 DistributionPolicy1Code

*Definition:* Specifies if income is to be paid out (distributed) or retained (accumulated).

*Type:* CodeSet

CodeName	Name	Definition
DIST	Distribution	Income is distributed to the investors in the fund.
ACCU	Accumulation	Income is added to the capital of the fund.

### 65.2.2.64 DividendPolicy1Code

*Definition:* Specifies the dividend policy of the financial instrument.

Type: CodeSet

CodeName	Name	Definition
CASH	Cash	Dividend is paid in cash.
UNIT	Units	Dividend is paid in units.
BOTH	Both	Dividend is paid in both Cash and Units.

#### 65.2.2.65 DrawdownStatus1Code

Definition: Specifies a drawdown status.

Type: CodeSet

CodeName	Name	Definition
FULL	Full	Pension is fully in drawdown.
NONE	None	Pension is not in drawdown.
PART	Partial	Pension is in partial drawdown.

#### 65.2.2.66 DrawdownType2Code

Definition: Specifies a type of drawdown.

Type: CodeSet

CodeName	Name	Definition
BOTH	Both	Drawdown type is both flexi-access and capped.
CAPP	CappedIncomeDrawdown	Drawdown type is capped.
FLEX	FlexibleAccessDrawdown	Drawdown type is flexi-access.

#### 65.2.2.67 Eligible1Code

Definition: Specifies whether the item is eligible or not eligible.

Type: CodeSet

CodeName	Name	Definition
ELIG	Eligible	Item is eligible.
NELI	NotEligible	Item is not eligible.

#### 65.2.2.68 EnabledStatusReason1Code

Definition: Specifies the reason for an enabled status.

Type: CodeSet

CodeName	Name	Definition
MODI	Modified	Modification to the account data is in process.



### 65.2.2.69 EUCapitalGain2Code

*Definition:* Specifies whether capital gain is in the scope of the European directive on taxation of savings income in the form of interest payments (Council Directive 2003/48/EC 3 June) for an income realised upon sale, a refund or redemption of shares and units etc.

*Type:* CodeSet

CodeName	Name	Definition
EUSI	CapitalGainInScope	Capital gain is in the scope of the directive.
EUSO	CapitalGainOutScope	Capital gain is out of the scope of the directive.
UKWN	CapitalGainUnknown	Unknown whether capital gain is in or out of the scope of the directive.

### 65.2.2.70 EUDividendStatus1Code

*Definition:* Specifies whether the dividend is in the scope of the European directive on taxation of savings income in the form of interest payments.

*Type:* CodeSet

CodeName	Name	Definition
DIVI	DividendInScope	Dividend is in the scope of the directive.
DIVO	DividendOutScope	Dividend is out of the scope of the directive.
UKWN	DividendUnknown	Unknown whether the dividend is in or out of the scope of the directive.

### 65.2.2.71 EUSavingsDirective1Code

*Definition:* Indicate whether or not the fund is subject to reporting under the EU Savings Directive. Enter "Variable" if the status of the fund is likely to change from time to time.

*Type:* CodeSet

CodeName	Name	Definition
EUSI	EUSavingsInScope	Investment Fund is in the scope of the directive.
EUSO	EUSavingsOutScope	Investment Fund is out of the scope of the directive.
VARI	EUSavingsVariable	Investment Fund may vary for inclusion in the scope of the directive.

### 65.2.2.72 EventFrequency10Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.

### 65.2.2.73 EventFrequency1Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.

### 65.2.2.74 EventFrequency5Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
MNTH	Monthly	Event takes place every month or once a month.
WEEK	Weekly	Event takes place once a week.
DAIL	Daily	Event takes place every day.
CLOS	Closed	Event cannot take place, because, for example, the fund is closed.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TWMN	TwiceAMonth	Event takes place two times a month.

### 65.2.2.75 EventFrequency8Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
ADHO	Adhoc	Event takes place as necessary.
YEAR	Annual	Event takes place every year or once a year.
DAIL	Daily	Event takes place every day.
FOMN	EveryFourMonths	Event takes place every four months or three times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
TYEA	EveryTwoYears	Event takes place every two years.
INDA	IntraDay	Event takes place several times a day.
MNTH	Monthly	Event takes place every month or once a month.
ONDE	OnDemand	Event takes place on demand.
OVNG	Overnight	Event takes place overnight.
QUTR	Quarterly	Event takes place every three months or four times a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
TWMN	TwiceAMonth	Event takes place two times a month.
WEEK	Weekly	Event takes place once a week.

### 65.2.2.76 EventFrequency9Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
SEMI	SemiAnnual	Event takes place every six months or two times a year.
QUTR	Quarterly	Event takes place every three months or four times a year.
TOMN	EveryTwoMonths	Event takes place every two months.
MNTH	Monthly	Event takes place every month or once a month.
TWMN	TwiceAMonth	Event takes place two times a month.
TOWK	EveryTwoWeeks	Event takes place every two weeks.
WEEK	Weekly	Event takes place once a week.

CodeName	Name	Definition
DAIL	Daily	Event takes place every day.
ADHO	Adhoc	Event takes place as necessary.
INDA	IntraDay	Event takes place several times a day.
OVNG	Overnight	Event takes place overnight.
ONDE	OnDemand	Event takes place on demand.
NONE	None	Event does not take place.

### 65.2.2.77 ExPostCostCalculationBasis1Code

*Definition:* Specifies a basis for ex post calculations.

*Type:* CodeSet

CodeName	Name	Definition
FIXB	FixedBasis	Basic for cost calculation is fixed, that is calendar year.
ROLL	RollingBasis	Basis for cost calculation is rolling, that is, the last twelve months.

### 65.2.2.78 ExternalAccountIdentification1Code

*Definition:* Specifies the external account identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength	1
maxLength	4

### 65.2.2.79 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

### 65.2.2.80 FATCAFormType1Code

*Definition:* Specifies the type of Foreign Account Tax Compliance Act (FATCA) form.

*Type:* CodeSet

CodeName	Name	Definition
CER5	CertificateForeignIntermediary	Certificate of foreign intermediary (also known as IRS form W-8IMY).
CER7	CertificateForeignPersonsClaim	Certificate of foreign person's claim that income is effectively connected with the conduct of a trade or business in the United States (also known as IRS form W-8BEN-E).
CER1	CertificateForeignStatusBeneficialOwner	Certificate of foreign status of beneficial owner (also known as IRS form W-8BEN).
CER2	CertificateLossNationality	Certificate of loss of nationality.
CER3	SelfCertification	Self certification.
CER4	SelfCertificationLossNationality	Self certificate of loss of nationality (also known as IRS form I-407).
CER6	TaxpayerIdentificationNumberRequest	Form is a request for taxpayer identification number and certification (also known as IRS form W9).

### 65.2.2.81 FATCAsourceStatus1Code

*Definition:* Specifies the source of Foreign Account Tax Compliance Act (FATCA) status.

*Type:* CodeSet

CodeName	Name	Definition
CALC	Calculated	Source of the Foreign Account Tax Compliance Act (FATCA) status calculated.
DECL	Declared	Source of the Foreign Account Tax Compliance Act (FATCA) status is as declared by the investor.

### 65.2.2.82 FATCAStatus1Code

*Definition:* Specifies the Foreign Account Tax Compliance Act (FATCA) status.

*Type:* CodeSet

CodeName	Name	Definition
F101	FATCA101	Account holder type is an owner-documented financial institution with specified US owner(s).
F102	FATCA102	Account holder type is a passive non-financial entity with substantial US owner(s).
F103	FATCA103	Account holder type is a non-participating financial institution.

CodeName	Name	Definition
F104	FATCA104	Account holder type is a specified US person.
F105	FATCA105	Account holder type is a direct reporting non-financial foreign entity (NFFE).
F201	FATCA201	Account pool reporting type is a recalcitrant account holder with US indicia.
F202	FATCA202	Account pool reporting type is a recalcitrant account holder without US indicia.
F203	FATCA203	Account pool reporting type is a dormant account.
F204	FATCA204	Account pool reporting type is a non-participating foreign financial institution.
F205	FATCA205	Account pool reporting type is a recalcitrant account holder that is a US person.
F206	FATCA206	Account pool reporting type is recalcitrant account holder that is a passive non-financial foreign entity (NFFE).

### 65.2.2.83 FinancialAdvice1Code

*Definition:* Specifies if advice has been received from an independent financial advisor.

*Type:* CodeSet

CodeName	Name	Definition
RECE	Received	Advice has been received from an independent financial advisor.
NREC	NotReceived	Advice has not been received from an independent financial advisor.
UKWN	Unknown	It is not known whether or not advice has been received from an independent financial advisor.

### 65.2.2.84 FlowDirectionType1Code

*Definition:* Specifies the direction of a cash flow.

*Type:* CodeSet

CodeName	Name	Definition
INCG	Incoming	Amount of money received.
OUTG	Outgoing	Amount of money paid out.

### 65.2.2.85 FormOfSecurity1Code

*Definition:* Form of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
BEAR	Bearer	The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate.
REGD	Registered	Shareholder name of the financial instrument appears in the corporation/ funds books.

### 65.2.2.86 FundCashAccount2Code

*Definition:* Specifies the cash account type.

*Type:* CodeSet

CodeName	Name	Definition
CASH	CashAccount	Cash account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.

### 65.2.2.87 FundCashAccount4Code

*Definition:* Specifies the account type.

*Type:* CodeSet

CodeName	Name	Definition
HEDG	HedgeFund	Hedge fund account.
CPFO	PensionFundOrdinary	Central Provident Fund (CPF) ordinary account.
CPFS	PensionFundSpecial	Central Provident Fund (CPF) special account.
SRSA	RetirementScheme	Supplementary Retirement Scheme (SRS) account.
CSDO	CSDOmnibusAccount	Account operated by a CSD in cross-CSD settlement context.
TOFF	TechnicalOffsetAccount	Account operated by a CSD in a direct holding market context.
ICSA	InterCSDAccount	Account operated by a CSD for settlement of securities legs for instructions involving internal CSDs.
CSDM	CSDMirrorAccount	Account operated by a CSD for mirroring positions.
CSDP	CSDParticipantAccount	Account owned by a CSD participant.
PPEN	PrivatePensionScheme	Private pension account.
CPEN	WorkplacePensionSchema	Workplace or company pension account.

### 65.2.2.88 FundIntention1Code

*Definition:* Specifies if the fund is intended for qualified investors.

*Type:* CodeSet

CodeName	Name	Definition
YQUA	Qualified	Qualified.
NQUA	NotQualified	Not qualified.

### 65.2.2.89 FundOrderType10Code

*Definition:* Specifies a type of investment fund transaction.

*Type:* CodeSet

CodeName	Name	Definition
SUBS	Subscription	Investment fund order is a subscription.
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
REDM	Redemption	Investment fund order is a redemption.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

### 65.2.2.90 FundOrderType5Code

*Definition:* Specifies the category of the investment fund order.

*Type:* CodeSet

CodeName	Name	Definition
NSPN	NormalStaffPortion	That part of an investment fund order attributed to a normal staff portion.
NCPN	NormalClientPortion	That part of an investment fund order attributed to a normal client portion.
SWSP	StaffWithSavingsPlan	That part of an investment fund order attributed to a staff member with a savings plan.
CWSP	ClientWithSavingsPlan	That part of an investment fund order attributed to a client with a savings plan.

### 65.2.2.91 FundOrderType8Code

*Definition:* Specifies the category of the investment fund order.

*Type:* CodeSet



CodeName	Name	Definition
BEDB	BedAndBreakfast	Investment fund order is part of a bed and breakfast transaction.
INVP	InvestmentPlan	Investment fund order is related to an investment plan (only applicable to a subscription).
PREA	PreAdvice	Investment fund order is executed with specific pre-advice conditions.
RGSV	RegularSavingsPlan	Investment fund order is a regular savings plan (only applicable to a subscription).
RGSU	RegularSavingsPlanUpdate	Investment fund order is paying extra money into to an existing plan (only applicable to a subscription).
RDIV	ReinvestmentOfDividend	Investment fund order is a dividend reinvestment (only applicable to a subscription).
STAF	StaffOrder	Investment fund order is a staff order.
WIDP	Withdrawal	Investment fund order is for a withdrawal investment plan (only applicable to a redemption).

### 65.2.2.92 FundOwnership1Code

*Definition:* Specifies if all the shares are owned exclusively by the fund company.

*Type:* CodeSet

CodeName	Name	Definition
YALL	AllOwned	All shares owned.
NALL	NotAllOwned	Not all shares owned.

### 65.2.2.93 FundPaymentType1Code

*Definition:* Specifies a type of payment instrument.

*Type:* CodeSet

CodeName	Name	Definition
DRAF	BankersDraft	Payment instrument is a bankers draft.
CACC	CashAccount	Payment instrument is a cash account.
CHEQ	Cheque	Payment instrument is a cheque.
CRDT	CreditTransfer	Payment instrument is a credit transfer.
DDEB	DirectDebit	Payment instrument is a direct debit.
CARD	PaymentCard	Payment instrument is a payment card.

### 65.2.2.94 GateHoldBack1Code

*Definition:* Specifies the type of hold back on redemption proceeds.

*Type:* CodeSet

CodeName	Name	Definition
GATE	Gating	Gating of redemption proceeds.
HOLD	HoldBack	Hold back of redemption proceeds.

### 65.2.2.95 GDPRDataConsent1Code

*Definition:* Consent type in the context of the General Protection Regulation (GDPR) 2016/679 regulation.

*Type:* CodeSet

CodeName	Name	Definition
DP00	ConsentMarketing	Consent to authorise the controller of personal data processing to process personal data for marketing purposes.
DP03	ConsentProfilingTargeted	Consent to authorise the controller of personal data processing to process personal data for profiling purposes in order to formulate customised and targeted product and service offers.
DP01	ConsentTransferSameMarketing	Consent to authorise the controller of personal data processing to transfer personal data to other companies belonging to the same group for independent processing for marketing purposes.
DP02	ConsentTransferThirdPartyMarketing	Consent to authorise the controller of personal data processing to transfer personal data to third party companies for independent processing for marketing purposes.

### 65.2.2.96 Gender1Code

*Definition:* Specifies the gender of a person.

*Type:* CodeSet

CodeName	Name	Definition
FEMA	Female	Individual is a female.
MALE	Male	Individual is a male.

#### Restricts

"GenderCode" on page 2446

### 65.2.2.97 GenderCode

*Definition:* Specifies the gender of a person.

*Type:* CodeSet

CodeName	Name	Definition
MALE	Male	Individual is a male.
FEMA	Female	Individual is a female.

Is restricted by

"Gender1Code" on page 2446

### 65.2.2.98 GeneralInvestmentAccountType2Code

*Definition:* Specifies a type of investment account.

*Type:* CodeSet

CodeName	Name	Definition
ANYY	Any	Any type of general investment account.
EQUI	ShareSavingsAccount	General shares or equity savings account.

### 65.2.2.99 GovernanceProcessType1Code

*Definition:* Specifies a type of governance process.

*Type:* CodeSet

CodeName	Name	Definition
BMIF	ComparableMiFID	Product governance procedure is comparable to MiFID II.
NINF	NoInformation	No information is requested from the issuer.
CMIF	NotMiFID	Product governance procedure is not in accordance with MiFID II.
AMIF	PursuantMiFID	Product governance procedure is pursuant to MiFID II.

### 65.2.2.100 HolderType1Code

*Definition:* Specifies a type of holder.

*Type:* CodeSet

CodeName	Name	Definition
TFEE	Transferee	Holder is the transferee party. The transferee party may also be known as the acquiring party.
TFOR	Transferor	Holder is the transferor party. The transferee party may also be known as the ceding party.

### 65.2.2.101 Holding1Code

*Definition:* Specifies how the holding is blocked.

*Type:* CodeSet

CodeName	Name	Definition
CERT	Certificate	Certificate.
NPRH	NonPartialHolding	Non partial holding.

CodeName	Name	Definition
PRTH	PartialHolding	Partial holding.

### 65.2.2.102 HoldingsPlanType1Code

*Definition:* Specifies the holdings plan of the assets to transfer.

*Type:* CodeSet

CodeName	Name	Definition
INVP	InvestmentPlan	Holding to be transferred belongs to an investment plan.
SWIP	SwitchPlan	Holding to be transferred belongs to a switch plan.
PLAR	WithdrawalPlan	Holding to be transferred belongs to a withdrawal plan.

### 65.2.2.103 HoldingTransferable1Code

*Definition:* Indicate whether or not registered investors are able to transfer some or all of their holdings to third parties.

*Type:* CodeSet

CodeName	Name	Definition
TRAL	TransferAllowed	Transfer is allowed.
TRNA	TransferNotAllowed	Transfer is not allowed.
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

### 65.2.2.104 IncomePreference1Code

*Definition:* Specifies the options for distribution of dividend income.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
DRIP	DividendReinvestment	Reinvestment of proceeds into securities.

### 65.2.2.105 IncomePreference2Code

*Definition:* Specifies the options for distribution of dividend income.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Distribution in cash.
SECU	Securities	Distribution in securities.

**65.2.2.106 InformationDistribution2Code**

*Definition:* Specifies how information is to be distributed.

*Type:* CodeSet

CodeName	Name	Definition
ELEC	Electronic	Electronic distribution.
NONE	NoDistribution	No distribution.
PAPR	Paper	Paper distribution.

**65.2.2.107 InRepairStatusReason1Code**

*Definition:* Specifies the reason for a In Repair status.

*Type:* CodeSet

CodeName	Name	Definition
COMA	CommercialAgreement	Order has been accepted and centralised before the cut off, but with different sales agreement than the one provided in the order.

**65.2.2.108 Insurance1Code**

*Definition:* Specifies the type of insurance.

*Type:* CodeSet

CodeName	Name	Definition
LIFE	LifeInsurance	Life insurance.
PDIS	PermanentDisabilityInsurance	Permanent disability insurance.

**65.2.2.109 IntendedOrActual2Code**

*Definition:* Specifies if a charge or cost is intended (ex ante) or actual (post ante).

*Type:* CodeSet

CodeName	Name	Definition
ANTE	ExAnte	Ex ante (intended).
POST	ExPost	Ex post (actual).

**65.2.2.110 InvestmentAccountCategory1Code**

*Definition:* Specifies the investment account category.

*Type:* CodeSet

CodeName	Name	Definition
MAND	MandateAccount	Account is fully managed by the financial institution, that is, an investor gives a 'mandate' to the financial institution to execute a mutually agreed investment strategy on its behalf.

CodeName	Name	Definition
RETA	RetailAccount	Account is a standard account managed by the investor. The investor issues instructions for the account to the financial institution.

### 65.2.2.111 InvestmentFundFee1Code

*Definition:* Specifies the type of service for which a fee is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
BRKF	BrokerageFee	Fee paid to a broker for services provided.
COMM	Commission	Amount paid out by the fund to a third party.
CDPL	CommissionDePlacement	Amount of cash due to an intermediary for selling a product, or services, to a third party.
CDSC	ContingentDeferredSalesCharge	Deferred sales charge.
CBCH	CorrespondentBankCharge	In investment funds, the charge of the correspondent bank for transferring money.
DLEV	DilutionLevy	In investment funds, a charge payable by the investor covering bid-offer spreads and dealing charges for the underlying investments. The dilution levy is paid to the fund for the benefit of other unit holders.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
INIT	InitialCharge	Charge paid at the time of the first subscription.
ADDF	AdditionalFee	Additional fee not covered by another fee type.
POST	PostageCharge	Charge paid for the postage.
PREM	Premium	In investment funds, pre-arranged addition to the trade amount based on the published net asset value.
CHAR	ServiceProvisionFee	Fee paid by the investor to a distributor/ intermediary or other service provider for the provision of financial services.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SWIT	Switch	In investment funds, charge related to a switch transaction.

CodeName	Name	Definition
UCIC	UCITSCommission	Charges paid by the investor to the fund company for subscription and redemption orders.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
PENA	Penalty	Fee charged to the investor for early redemption of the fund.

### 65.2.2.112 InvestmentFundFee2Code

*Definition:* Type of service for which a charge is asked or paid.

*Type:* CodeSet

CodeName	Name	Definition
BEND	BackEndLoad	Fee paid by the investor to the fund or fund management company when redeeming.
FEND	FrontEndLoad	Fee paid by the investor to the fund or fund management company when subscribing.
TRAN	TransferFee	In investment funds, a fee charged for the transfer of ownership of an investment fund.
POST	PostageCharge	Charge paid for the postage.
REGF	RegulatoryFee	Fee charged by a regulatory authority, for example, securities and exchange fees.
SHIP	ShippingCharge	Charge for shipping, including the insurance of securities.
SPCN	SpecialConcessions	Fees, drawdown, or other reduction from or in addition to the deal price.

### 65.2.2.113 InvestmentFundMiFIDFee2Code

*Definition:* Specifies a type of cost or charge.

*Type:* CodeSet

CodeName	Name	Definition
BORF	BorrowingCostFund	Financing costs related to borrowing for the purposes of gearing expressed as a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07105 and 08045.
DIS2	DistributionFee	Distribution fee. This fee is included in the total on going costs and is not included in the management fee. It is only applicable if the product has this feature. The cost reported should reflect the current running distribution fee. When used in reference to MiFID, this is

CodeName	Name	Definition
		in the scope of the European MiFID Template (EMT) reference 07120 and 08060 and this a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).
FES3	GrossOneOffEntryCostStructured	Gross one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08010 and may be specified as an actual amount or a percentage of the reference value, EMT reference 08110 or 08120, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that is out of control of the manufacturer.
FEND	GrossOneOffMaximumEntryCostNonAcquired	Gross one-off maximum entry cost not acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 and is a percentage of the amount to be invested. This fee is paid by the investor to the fund or fund management company. This is indicative and should be adapted by the distributor according to the agreement with the asset manager.
FES2	GrossOneOffMaximumEntryCostStructured	Gross maximum one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07020 or 08120, and is the 'ask price' or 'fair value'. It may be specified as an actual amount or a percentage of the reference value, EMT reference 07150, and should only incorporate manufacturer costs (that is, the cost of the financial instrument) and distributor costs upfront when known by the manufacturer. It should, however, not include distribution fees added on top of the product price by distributors that are out of control of the manufacturer.
GOC1	GrossOngoingCosts	Gross on-going costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is a percentage of the NAV of the financial product, expressed in annualised terms (rate of cost deduction to be applied). This includes management fees and distribution fees and excludes all transaction costs, incidental costs and performance fees. Costs reported should reflect current running ongoing costs. The gross on-going costs is expressed



CodeName	Name	Definition
		as a percentage of the NAV of the financial instrument per annum.
GOCS	GrossOngoingCostsStructured	Gross on-going costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07100 and 08030 and is expressed as a percentage of the NAV or currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
INCF	IncidentalCosts	Fee that covers incidental costs. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV. Includes performance fees and other costs.
INCS	IncidentalCostsStructured	Fee that covers incidental costs for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07140 and 08080 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 and 08110.
MNF1	ManagementFee	Management fee paid to an investment manager for services. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is a percentage of the NAV of the financial product expressed in annualised terms (rate of cost deduction to be applied). These fees are included in total ongoing costs and are fees used by distributors to calculate retrocession fees. The costs reported should reflect current running management costs.
MANS	ManagementFeeStructured	Management fee for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07110 and 08050 and is expressed as a percentage of the NAV or a currency and amount for an absolute quotation of the financial product in annualised terms related to the reference value, EMT reference 07150 or 07155 or 08110.
NET2	NetOneOffEntryCostExPostStructured	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08015 and is minus the

CodeName	Name	Definition
		upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the gross one-off entry cost (EMT reference 08010) and the net one-off entry (EMT reference 08015).
NESF	NetOneOffEntryCostNonAcquiredStructuredFund	Net one-off entry cost for a structured fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025. This is expressed as a percentage of the amount to be invested.
NETO	NetOneOffEntryCostStructuredNonAcquired	Net one-off entry cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07025 and is minus the upfront distribution fee. The cost reported is a net disclosure and therefore the upfront distributor fee is equal to the difference between the one-off entry cost (EMT reference 07020) and the net one-off entry (EMT reference 07025).
NRAM	NotionalReferenceAmount	Notional reference amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07155 and 08120. This is the amount expressed as a number of currency units to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
OOEA	OneOffEntryCostAcquired	Percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08025.
OOSF	OneOffExitCostPriorStructuredProductFund	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and may be specified as a percentage of the amount to be divested.
OOSS	OneOffExitCostPriorStructuredSecurities	One-off exit cost prior to the recommended holding period (RHP). When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07090 and is specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
BENS	OneOffExitCostStructured	One off exit cost for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08020 and when expressed as a percentage, this is

CodeName	Name	Definition
		a percentage of the reference value, EMT reference 08110 or 08120.
ENAC	OneOffMaximumEntryCostAcquired	Maximum cost of the one-off entry fee. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07040 and is the subscription fees acquired to the fund. It is not included in the one off entry cost 07020. This maximum one-off entry cost acquired to the fund is specified as a percentage of the amount to be invested.
ENFX	OneOffMaximumEntryCostFixedAmountItaly	Maximum one-off entry cost fixed amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07030 and is a flat fee defined by the fund or fund management company. This is indicative and should be adapted by the distributor according to the relationship between the fund and the distribution. This cost is not taken into account in the gross one-off maximum entry cost (FEND), EMT reference 07020.
EXAC	OneOffMaximumExitCostAcquired	Maximum cost of the one-off exit fee acquired to the fund. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07070. It is not included in the one off maximum exit cost EMT reference 07050. This is paid by the investor to the fund or fund management company. This is a percentage of the NAV.
ENBX	OneOffMaximumExitCostFixedAmountItaly	Maximum one-off exit cost, a maximum fixed amount per redemption. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07060 and is flat fee defined by the fund or fund management company. It is indicative and should be adapted distributor according to the relationship between the fund and the distribution. This cost is not taken in account in the one-off maximum exit cost EMT reference 07050.
BEND	OneOffMaximumExitCostNonAcquired	Maximum cost of the one-off exit fee not acquired to the fund that could happen at a certain time during the life of the product. This is a percentage of the NAV. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07050.
PENO	OneOffTypicalExitCost	One-off typical exit current exit cost linked to the recommended holding period (RHP) or time to maturity. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and are the

CodeName	Name	Definition
		<p>'normal' fees if the client holds the product until maturity or during the RHP.</p> <p>Example: a product with a 5 year maturity has exit costs of:</p> <ul style="list-style-type: none"> <li>- 4% after 1 and 2 years</li> <li>- 3% after 3 years</li> <li>- 1% after 4 years</li> <li>- 0 at maturity</li> </ul> <p>Then maximum exit cost: 4%.</p> <p>Typical cost : 0</p>
OTES	OneOffTypicalExitCostsStructured	One-off typical exit cost linked to the recommended holding period (RHP) for a structured product. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07080 and may be specified as an actual amount or a percentage of the reference value, EMT reference 07150 or 07155.
OCAS	OngoingCostsAccumulatedStructured	Sum of daily recurring product costs accumulated during the year until the ex post reference date. This is typically specified as an actual amount. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 08040.
RPSS	ReferencePrice	Reference Price. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07150 and 08110 and is the instrument price to which a unit disclosed ex-post cost is based and to which a percentage disclosed cost should be multiplied in order to retrieve the unit cost.
TRS1	TransactionCost	Cost associated with the transaction. When used in reference to MiFID, this is in the scope of the European MiFID Template (EMT) reference 07130 and 08070 and this is a percentage of the NAV of the financial instrument expressed in annualised terms (rate of cost deduction to be applied).

#### 65.2.2.114 InvestmentFundPlanType1Code

*Definition:* Specifies a type of investment fund plan.

*Type:* CodeSet

CodeName	Name	Definition
INVP	SavingsInvestmentPlan	Savings investment plan.

CodeName	Name	Definition
SWIP	SwitchPlan	Switch plan.
WTHP	WithdrawalPlan	Withdrawal plan.

### 65.2.2.115 InvestmentFundRole2Code

*Definition:* Specifies the role played by an actor in an investment fund transaction.

*Type:* CodeSet

CodeName	Name	Definition
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.

CodeName	Name	Definition
DIST	Distributor	Party that act as an wholesaler of funds.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
UCL1	UnderlyingClient1	Underlying client of the intermediary.
UCL2	UnderlyingClient2	Underlying client of underlying client 1.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 65.2.2.116 InvestmentFundRole6Code

*Definition:* Specifies the role of the party.

*Type:* CodeSet

CodeName	Name	Definition
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
DATP	DataProvider	Source of financial information. Provides financial news and data (for example, facts, statistics and analysis), for professional and individual investors through various media, for example, the Internet, magazines.
DIST	Distributor	Party that act as an wholesaler of funds.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
FIAD	FinancialAdvisor	Party that supplies information and advice on investment products.
FIAG	FinalAgent	Financial institution that receives the payment transaction on behalf of an account owner, or other nominated party, and credits the account.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
FNBR	FundBroker	Party acting as an intermediary agent between an investor and a transfer agent for the subscription or redemption to a fund.

CodeName	Name	Definition
FTAG	FirstAgent	Financial institution that receives the payment transaction from the account owner, or other authorised party, and processes the instruction.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.
REGI	Registrar	Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company.
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor

CodeName	Name	Definition
		and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
TRAN	TransmittingAgent	Party that transmits the instruction, advice, notification or report.

### 65.2.2.117 InvestmentFundRole7Code

*Definition:* Specifies the role of the party.

*Type:* CodeSet

CodeName	Name	Definition
CONC	Concentrator	Party that acts as an aggregator of funds, also called a funds hub.
DIST	Distributor	Party that act as an wholesaler of funds.
FMCO	FundManagementCompany	Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund.
INTR	Intermediary	Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor.
PAYI	PayingAgent	Agent that executes the payment. In the context of the investment fund industry, the paying agent is the local legal representative of the fund. It may pay out dividends, and collects money for the purchase of funds when a client deals directly with the fund and/or when a client deals with bearer shares. It pays out the redemption of the fund, may distribute information about the fund, and provides legal information about the fund.



CodeName	Name	Definition
TRAG	TransferAgent	Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution.
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
CACO	CashCorrespondent	Financial institution that executes cash transfers on behalf of its clients.
FACT	FundAccountant	Party that keeps accounting records of the available assets and liabilities of the fund. This party calculates deal prices, the Net Asset Value (NAV) of the fund, and may provide fund performance and tax data.
INVE	InvestmentManager	Party that implements the investment strategy, that is, selects portfolio investments in accordance with the objectives and strategy in the fund's prospectus, and places orders to effect or liquidate selected investments in accordance with net flow of capital into or out of the fund.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

### 65.2.2.118 InvestmentFundTransactionInType1Code

*Definition:* Specifies the type of investment fund transaction that results in a cash movement into a fund.

*Type:* CodeSet

CodeName	Name	Definition
SUBS	Subscription	Transaction is a subscription to an investment fund.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROI	CrossIn	Transaction is a cross-in.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.

### 65.2.2.119 InvestmentFundTransactionOutType1Code

*Definition:* Specifies the type of investment fund transaction that results in a cash movement out of a fund.

*Type:* CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
INSP	InSpecie	Transaction is an InSpecie.
CROO	CrossOut	Transaction is a cross out.

### 65.2.2.120 InvestmentFundTransactionType1Code

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
ALLL	All	All types of transactions.
SELL	SecuritiesSale	Sale of securities.
BUYI	SecuritiesPurchase	Purchase of securities.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SUBS	Subscription	Transaction is a subscription to an investment fund.
REDM	Redemption	Transaction is a redemption of an investment fund.
CDEP	CashDeposit	Transaction is a cash deposit.
CWIT	CashWithdrawal	Transaction is a cash withdrawal.
DIVP	DividendPayment	Transaction is the payment of dividends and other proceeds.
CAEV	CorporationActionEvent	Transaction is the result of a corporate action.
CROI	CrossIn	Transaction is a cross-in.
CROO	CrossOut	Transaction is a cross out.
DIVI	Dividend	Transaction is a dividend.

CodeName	Name	Definition
INSP	InSpecie	Transaction is an InSpecie.
OTHR	Other	Transaction is another type of transaction.
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
RDIV	ReinvestmentOfDividend	Transaction is a reinvestment of dividend.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

### 65.2.2.121 InvestmentNeed2Code

*Definition:* Specifies an investment need.

*Type:* CodeSet

CodeName	Name	Definition
NSPE	None	No specific need.
OTHR	Other	Other specific need.
ISLB	IslamicBanking	Investment need is for Islamic banking.

### 65.2.2.122 InvestorProfileStatus1Code

*Definition:* Specifies the status of the investor profile.

*Type:* CodeSet

CodeName	Name	Definition
DISA	Disabled	Status of the investor profile is disabled.
DISG	Disabling	Status of the investor profile is in the process of being disabled.
ENAB	Enabled	Status of the investor profile is enabled.
ENBG	Enabling	Status of the investor profile is in the process of being enabled.
ADMI	InAdmission	Status of the investor profile is in admission.

CodeName	Name	Definition
ANLY	InAnalysis	Status of the investor profile is in analysis.
NAPP	NotApproved	Status of the investor profile is not approved.
PSUS	PartiallySuspended	Status of the investor profile is partially suspended.
PEND	PendingApproval	Status of the investor profile is pending approval.
SUPS	Suspended	Status of the investor profile is suspended.

### 65.2.2.123 InvestorType2Code

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
EPRO	ElectiveProfessional	Investor is an elective professional.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.

### 65.2.2.124 InvestorType3Code

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
RETL	Retail	Investor is a retail investor.
PRF2	ProfessionalOrPerSe	Investor is professional or professional per se.
NEI1	NeitherProfessionalOrRetail	Investor is neither professional or retail.
BOT2	BothProfessionalAndRetail	Investor is both professional and retail.

### 65.2.2.125 InvestorType4Code

*Definition:* Specifies the type of investor.

*Type:* CodeSet

CodeName	Name	Definition
BOT3	BothProfessionalPerSeAndElectiveProfessional	Investor is both professional per se and elective professional.
NPRF	NotProfessionalPerSeElectiveProfessional	Investor is neither professional per se or elective professional.
PRF3	ProfessionalPerSeNotElectiveProfessional	Investor is professional per se but not elective professional.

CodeName	Name	Definition
PRF4	ElectiveProfessionalNotProfessionalPerSe	Investor is an elective professional but not professional per se.

### 65.2.2.126 KnowYourCustomerCheckType1Code

*Definition:* Specifies the type of Know Your Customer (KYC) or anti-money laundering due diligence to which the investor has been subjected.

*Type:* CodeSet

CodeName	Name	Definition
ENHA	Enhanced	Enhanced check, typically carried out on accounts that are considered high risk.
ORDN	Ordinary	Ordinary check, typically carried out on standard accounts.
SIMP	Simple	Simple check, typically carried out on accounts that have a low risk of anti-money laundering, such as an account owned by a financial institution.

### 65.2.2.127 LanguageCode

*Definition:* Specifies a language.

*Type:* CodeSet

#### Constraints

- **ValidationByTable**

Must be a valid terrestrial language.

### 65.2.2.128 LateReport1Code

*Definition:* Specifies whether a transaction report is late.

*Type:* CodeSet

CodeName	Name	Definition
LAT1	Late	The confirmation is late.
LAT2	LateBecausePartial	The confirmation is late because the trade was executed as a number of partials.

### 65.2.2.129 LevelOfControl1Code

*Definition:* Specifies the level of control.

*Type:* CodeSet

CodeName	Name	Definition
TRAN	Transactions	Transactions are permitted on the account.
VIEW	View	Account may be viewed only.

### 65.2.2.130 Liability1Code

*Definition:* Specifies the party responsible for the liability.

*Type:* CodeSet

CodeName	Name	Definition
INVE	Investor	Investor is responsible.
BROK	Broker	Broker is responsible.

### 65.2.2.131 LumpSumType1Code

*Definition:* Specifies a type of lump sum.

*Type:* CodeSet

CodeName	Name	Definition
DEAB	DeathBenefit	Lump sum is a death benefit lump sum.
PCLS	PensionCommencement	Lump sum is a pension commencement lump sum.
UFPL	Uncrystallised	Lump sum is an uncrystallised fund pension lump sum.

### 65.2.2.132 MailType1Code

*Definition:* Specifies the type of mail service.

*Type:* CodeSet

CodeName	Name	Definition
AIRM	AirMail	Air mail.
ORDM	OrdinaryMail	Ordinary mail.
REGM	RegisteredMail	Registered Mail.

### 65.2.2.133 MessageRejectedReason1Code

*Definition:* Specifies the reason for a message rejected status.

*Type:* CodeSet

CodeName	Name	Definition
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.
NALO	NotAllowedRequest	Instructing party is not allowed to ask for a status for that specific order.

### 65.2.2.134 MoneyLaunderingCheck1Code

*Definition:* Specifies the status of money laundering identification procedures.

*Type:* CodeSet

CodeName	Name	Definition
PASS	Passed	Money laundering identification procedures have been carried out by the intermediary.
NOTC	NotChecked	Money laundering identification procedures have not been carried out.
EXEM	ExemptBelowLimit	Money laundering identification procedures have not been carried out because the transaction is below the prescribed limit.
CLMO	ClientMoneyTypeExempt	Money laundering identification procedures have not been carried out because of the transaction type, for example, switch, or because the transaction is being funded from an existing investor account held by the intermediary.
AUTH	AuthorisedCredit	Money laundering identification procedures have not been carried out because the investor is an authorised credit or financial institution.
POEP	PostalOrElectronicPaymentExempt	Limited money laundering identification procedures have been carried out because it is a one time only transaction and the payment is being made by postal, telephone or electronic transfers from an existing account with an authorised credit or financial institution.

### 65.2.2.135 NamePrefix1Code

*Definition:* Specifies the terms used to formally address a person.

*Type:* CodeSet

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

### 65.2.2.136 NationalityCode

*Definition:* Specifies the country where a person was born or is naturalised.

*Type:* CodeSet

**Constraints**

- **ValidationByTable**

Must be a valid nationality.

**65.2.2.137 NegotiatedTrade1Code**

*Definition:* Specifies whether the trade is negotiated.

*Type:* CodeSet

CodeName	Name	Definition
NEGO	Negotiated	Trade is negotiated.
NNGO	NotNegotiated	Trade is not negotiated.
UNKW	Unknown	Whether the trade is negotiated or not is unknown.

**65.2.2.138 NoCriteria1Code**

*Definition:* Specifies that there is no criteria.

*Type:* CodeSet

CodeName	Name	Definition
NOCR	NoCriteria	No criteria.

**65.2.2.139 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.

**65.2.2.140 NotionalOrUnitBased1Code**

*Definition:* Specifies the unit basis of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
UNIT	Unit	Basis of a financial instrument is unit.
NOTI	Notional	Basis of a financial instrument is notional.

**65.2.2.141 OperationalStatus1Code**

*Definition:* Specifies the operational status.

*Type:* CodeSet

CodeName	Name	Definition
ENAB	Enabled	Enabled.



CodeName	Name	Definition
SPEC	SpecialCircumstances	Special circumstances.

### 65.2.2.142 OrderCancellationStatus2Code

*Definition:* Specifies the current status of the order cancellation request.

*Type:* CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order cancellation request has been sent to the next party, eg, the next intermediary.
RECE	Received	Status of the order cancellation request is received, that is, technical validation of the message is ok, and the message is now at the receiving side.
CANP	CancellationPending	Order cancellation request is pending, The order cancellation request has been received but this does not indicate the order has been cancelled.
CAND	CancellationCompleted	Status of the order cancellation request is completed. The cancellation request has been accepted and processed; the order has been cancelled.

### 65.2.2.143 OrderConfirmationStatus1Code

*Definition:* Specifies the current status of an order confirmation or of an order confirmation amendment.

*Type:* CodeSet

CodeName	Name	Definition
STNP	SentToNextParty	Order confirmation or order confirmation cancellation instruction or order confirmation amendment has been sent to the next party, eg, the next intermediary.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
COAC	ConfirmationAccepted	Order confirmation or order confirmation amendment is accepted.
CREC	ConfirmationReceived	Order confirmation or order confirmation amendment is received, ie, technical validation of the message is ok, and the message is now at the receiving side.

### 65.2.2.144 OrderOriginatorEligibility1Code

*Definition:* Specifies the type of the counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Type:* CodeSet

CodeName	Name	Definition
ELIG	Eligible	Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID.
RETL	Retail	Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor.
PROF	Professional	Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies.

### 65.2.2.145 OrderQuantityType2Code

*Definition:* Specifies how the order is placed, eg by quantity of units or by amount of money.

*Type:* CodeSet

CodeName	Name	Definition
UNIT	Unit	Order is placed by unit.
CASH	Amount	Order is placed by amount of money.

### 65.2.2.146 OrderStatus4Code

*Definition:* Specifies the current status of the order.

*Type:* CodeSet

CodeName	Name	Definition
PACK	Accepted	Order is accepted and is ready for execution (execution is the moment when pricing is applied).
COSE	AlreadyExecuted	Order is already executed and confirmation has been sent.
STNP	SentToNextParty	Order has been sent to the next party, eg, the next intermediary.
RECE	Received	Order has been received, ie, technical validation of the message is ok, and the message is now at the receiving side.
SETT	Settled	Order is settled. The cash is credited or debited.
CPNP	CommunicationProblemNextParty	Communication problems with the next party.
CNFC	ConfirmationAmendment	Order confirmation cancellation has been sent and will be followed by a confirmation amendment, or a confirmation amendment has been sent.
DONE	DoneForDay	Order has been partially filled, and is done for the day, ie, no further executions will take place today.

CodeName	Name	Definition
DONF	PartiallyDone	Order has been partially filled and will not be filled further.
OPOD	Open	Order is open.
IACO	InvalidAgentConfirmation	Order confirmation received from agent is invalid.

### 65.2.2.147 OrderWaiverReason1Code

*Definition:* Relates to non-standard orders, to handle them differently, probably in a manual fashion.

*Type:* CodeSet

CodeName	Name	Definition
LATE	LateTradeDealing	Dealing of the trade is outside the normal limit.
FEND	FrontEndLoadCharge	Front end load charge differs from PPM.
BMIN	BelowMinimumInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
CUTO	CutOffDate	Cut off date has been passed.
COMW	CommissionWaiver	Standard commission is waived.

### 65.2.2.148 OrganisationType1Code

*Definition:* Specifies a type of organisation.

*Type:* CodeSet

CodeName	Name	Definition
IFUN	InvestmentFund	Organisation is an investment fund.
PRIV	PrivateAssociation	Organisation is a private association.
PUBL	Public	Organisation is a public company.
PFUN	PublicFund	Organisation is a public fund.

### 65.2.2.149 OtherAmountType1Code

*Definition:* Type of other amount.

*Type:* CodeSet

CodeName	Name	Definition
PINT	PrepaidInterest	Interest that was pre-paid.
SINT	SettlementInterest	Interest on the interest.

### 65.2.2.150 OtherAsset2Code

*Definition:* Specifies a type of asset.

*Type:* CodeSet

CodeName	Name	Definition
DIMA	Discretionary	Asset is a discretionary investment manager account
EXIA	ExternalAccount	Asset is an external investment account.
MOVE	MovableProperty	Property that is not real estate. Also known as 'movable chattels'.
PROP	Property	Property that is real estate.
TIPP	TrusteeInvestmentPlan	Asset is a trustee investment plan (TIP).

### 65.2.2.151 PartyIdentificationType7Code

*Definition:* Specifies an alternative identification of a party, for example, national registration identification number, passport number, tax identification number.

*Type:* CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
OTHR	Other	Another type of identification type.
PASS	PassportNumber	Number assigned by a passport authority to a passport.
POCD	PostOfficeCardNumber	Post office card number as assigned by a national post office.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
SRSA	SRSAccountNumber	Supplementary retirement scheme account number.
GUNL	GunLicenseNumber	Gun license number as assigned by a gun licensing authority.
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.
CPFA	CPFAccountNumber	Account issued by the Central Provident Fund Board (Singapore).
AREG	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
DRLC	DriversLicenseNumber	Number assigned by a license authority to a driver's license.
EMID	EmployerIdentificationNumber	Number assigned to an employer by a registration authority.
NINV	NonResidentInvestor	Number that identifies the type of investor registered at a securities and exchange commission.

CodeName	Name	Definition
INCL	IndustryClassification	Number, typically assigned by a government to describe ownership, administrative and authoritative relations.
GIIN	GlobalIntermediaryIdentificationNumber	Global intermediary tax identification number.

### 65.2.2.152 PartyRole1Code

*Definition:* Specifies the role of the party in the transaction.

*Type:* CodeSet

CodeName	Name	Definition
CUST	Custodian	Party that safekeeps and administers assets on behalf of the owner.
INVS	Investor	Party, either an individual or organisation, whose assets are being invested.

### 65.2.2.153 PendingOpeningStatusReason1Code

*Definition:* Specifies the reason for a pending account opening status.

*Type:* CodeSet

CodeName	Name	Definition
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but account opening is still pending.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
NOTO	NotOpened	Account is not yet open, even for partial use.
REST	Restrictions	Account will be opened when restrictions are addressed.
RIGH	RightsHolderMissing	Rights holder information is missing.

### 65.2.2.154 PendingSettlementStatusReason2Code

*Definition:* Specifies the reason for a transfer or settlement instruction settlement pending status.

*Type:* CodeSet

CodeName	Name	Definition
AWSH	AwaitingSharesFromCounterparty	Securities have not yet been received from the counterparty.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
CAIS	AwaitingSecurities	Awaiting securities from corporate action issue or other procedures, for example,

CodeName	Name	Definition
		conversion, dematerialisation, exchange, registration, stamping, splitting, etc.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable securities in the counterparty's account, or counterparty does not hold the securities.
DOCC	AwaitingDocumentsOrEndorsementsFromCounterparty	Awaiting documents or endorsements from the counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
IAAD	StatusReasonInvestigation	Pending reason is being investigated.
LACK	LackOfSecurities	Insufficient deliverable securities in your account.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
PHCK	PhysicalSecuritiesVerification	Physical shares have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical and securities are being delivered.
SBLO	SecuritiesBlocked	Settlement is pending. The securities are blocked due to, for example, a corporate action event, re-alignment.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing timeframe.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.

CodeName	Name	Definition
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
OVER	NormalProcessingPeriodLapsed	Normal processing period for the instruction has lapsed. The transfer agent has been or will be contacted.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
SDUT	LackOfStampDutyInformation	Instruction is pending as stamp duty information is missing.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
ESCA	Escalation	Special follow-up is taking place.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
FVER	FinalVerification	Confirmed but finality is to be verified.

### 65.2.2.155 PendingStatusReason1Code

*Definition:* Specifies the reason for a pending status.

*Type:* CodeSet

CodeName	Name	Definition
KYCM	KnowYourCustomerDocumentMissing	Know Your Customer (KYC) document is missing.
FRDM	FATCAReportingDateMissing	FATCA reporting date is missing.
RIGH	RightsHolderMissing	Rights holder information is missing.
ATHR	Authorisation	Authorisation is required.
ATHP	AuthorisedButPending	Authorisation is provided but the account change is still pending.
MODI	ModificationInProgress	Modification to the account data is in process.

### 65.2.2.156 PensionOrderType1Code

*Definition:* Specifies a type of order attached to a pension.

*Type:* CodeSet

CodeName	Name	Definition
EARM	Earmark	Pension policy, plan or scheme has been earmarked (set aside.)
SHAR	Sharing	Sharing order for the pension policy, plan or scheme has been issued by a court.

### 65.2.2.157 PensionSchemeType2Code

*Definition:* Specifies a type of pension scheme.

*Type:* CodeSet

CodeName	Name	Definition
AAVC	AdditionalVoluntaryContribution	Pension plan is an additional voluntary contribution plan.
DBEN	DefinedBenefit	Pension plan is a defined benefit plan.
EXPP	ExecutivePensionPlan	Pension plan is an executive pension plan.
FAVC	FreeStandingAdditionalVoluntaryContribution	Pension plan is a free standing additional voluntary contribution plan.
GPPS	GroupPersonalPension	Pension is a group personal pension.
SIPG	GroupSelfInvestedPension	Pension plan is a group self-invested pension plan.
STKG	GroupStakeholder	Pension plan is a group stakeholder pension plan.
IPST	IndividualPensionWithTaxBenefit	Pension is an individual pension savings plan with a tax benefit. This is known as an Individual Pension Schema (IPS) in some markets.
STKI	IndividualStakeholder	Pension plan is an individual stakeholder pension.
OTPM	MandatoryOccupationalPension	Pension is a mandatory occupational pension. This is known as an Obligatory Occupation Pension (OTP) in some markets.
OCDC	OccupationalDefinedContribution	Pension plan is an occupational defined contribution plan.
PPNS	PersonalPension	Pension is a personal pension plan.
EPKA	PersonalPensionAccount	Pension is a personal pension account. This is known as Employee Pension Kapital (EPK) in some markets.
ITPO	PrivateOccupationalPension	Pension is a private occupational pension. This is known as an industrial and trade supplementary pension (ITP) in some markets.



CodeName	Name	Definition
REAN	RetirementAnnuity	Pension plan is a retirement annuity.
SC32	Section32	Pension type covered by section 32.
S32A	Section32A	Pension type covered by section 32A.
SIPP	SelfInvestedPersonalPension	Pension is a self-invested personal pension plan.
SSAS	SmallSelfAdministeredScheme	Pension is a small self-administered pension scheme.

### 65.2.2.158 PensionTransferScope1Code

*Definition:* Specifies the scope of a pension transfer.

*Type:* CodeSet

CodeName	Name	Definition
CRYS	CrystallisedPart	Transfer is for the crystallised portion.
SDDT	DrawdownTranche	Transfer is for a specific drawdown tranche.
FULP	FullPension	Transfer is for the full pension.
UCRY	UncrystallisedPart	Transfer is for the uncrystallised portion.

### 65.2.2.159 PersonIdentificationType7Code

*Definition:* Specifies a type of tax reference.

*Type:* CodeSet

CodeName	Name	Definition
ATIN	AdoptionTaxpayerIdentificationNumber	Temporary tax processing number (used in the domestic adoption of a child).
GTIN	GenericTaxIdentificationNumber	Generic tax identification number.
ITIN	IndividualTaxpayerIdentificationNumber	Tax processing number.

### 65.2.2.160 PhysicalTransferType1Code

*Definition:* Specifies whether the financial instrument is to be physically delivered or is a dematerialised transfer.

*Type:* CodeSet

CodeName	Name	Definition
DEMT	Dematerialised	Dematerialised transfer.
PHYS	Physical	Physical transfer.

### 65.2.2.161 PlanStatus1Code

*Definition:* Specifies the status of a plan.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	Active	Plan is active.
CLOS	Closed	Plan is closed.
SUSP	Suspended	Plan is suspended.

### 65.2.2.162 PoliticalExposureType2Code

*Definition:* Specifies the political exposure type.

*Type:* CodeSet

CodeName	Name	Definition
NPEX	NoPoliticalExposure	No political exposure.
YPEX	PoliticalExposure	Political exposure.
PEXD	PoliticalExposureDomestic	Political exposure type is domestic.
PEXF	PoliticalExposureForeign	Political exposure type is foreign.

### 65.2.2.163 PoliticallyExposedPersonStatus1Code

*Definition:* Status of a politically exposed person.

*Type:* CodeSet

CodeName	Name	Definition
PE03	CloseAssociate	<p>Person known to be a close associate of the politically exposed person. A person known to be a close associate includes:</p> <p>(a) a natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with the politically exposed person,</p> <p>(b) a natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the de facto benefit of a politically exposed person.</p>
PE01	NaturalPersonEntrusted	Natural person who is or who has been entrusted with prominent public functions.
PE02	FamilyMember	<p>Family member of the politically exposed person. A family member includes:</p> <p>(a) the spouse, or a person considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(b) the children and their spouses, or persons considered to be equivalent to a spouse, of the politically exposed person,</p> <p>(c) the parents of the politically exposed person.</p>

**65.2.2.164 PortfolioWithdrawalReason1Code**

*Definition:* Specifies a reason for a withdrawal from the investment product.

*Type:* CodeSet

CodeName	Name	Definition
FTRS	FirstTimeResidentialProperty	Withdrawal is for a first time residential property.

**65.2.2.165 PositionEffect3Code**

*Definition:* Specifies the order in which events are processed.

*Type:* CodeSet

CodeName	Name	Definition
FIFO	Fifo	First in, first out. Results in a position obtained after having sold in priority the securities bought chronologically.
LIFO	Lifo	Last in, last out. Results in a position obtained after having sold in priority the securities bought chronologically.

**65.2.2.166 PriceMethod1Code**

*Definition:* Specifies the type of pricing calculation method.

*Type:* CodeSet

CodeName	Name	Definition
FORW	ForwardPrice	Price will be calculated after the close of the dealing period. An investor, therefore, does not know the exact buy or sell price.
HIST	HistoricalPrice	Price is calculated at an earlier valuation point preceding the dealing period. An investor, therefore, knows the exact buy or sell price.

**65.2.2.167 PriceReportFunction1Code**

*Definition:* Specifies the function of the price report.

*Type:* CodeSet

CodeName	Name	Definition
REPL	CompleteReplacementPriceReport	The price report conveys the correction of the complete set of prices previously sent for the same price report identification.
NEWP	NewPriceReport	The price report is 'new', that is the report is not being used as a correction of previously sent prices.
PART	PartialCorrectionPriceReport	The price report conveys the correction of some of the prices previously sent for the same price report identification.

### 65.2.2.168 PriceSource1Code

*Definition:* Indicates the source of a price quotation.

*Type:* CodeSet

CodeName	Name	Definition
FUND	Fund	Source of price quotation is a fund, eg, transfer agent, fund itself.
THEO	Theoretical	Source of price quotation is a theoretical value based on the market yield.
VEND	Vendor	Source of price quotation is an external vendor.

### 65.2.2.169 PriceValueType2Code

*Definition:* Specifies a type of value of the price.

*Type:* CodeSet

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.

### 65.2.2.170 ProductStructure1Code

*Definition:* Specifies the structure of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
BOND	Bond	Product is a bond.
NUMM	NonUCITSMoneyMarketFund	Product is a money market fund that is not an Undertaking for Collective Investment in Transferable Securities (UCITS).
UCMM	UCITSMoneyMarketFund	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS) money market fund.
EXTC	ExchangeTradedCommodity	Product is an exchange traded commodity.
UCIT	UCITS	Product is an Undertaking for Collective Investment in Transferable Securities (UCITS).
SSEC	StructuredSecurity	Product is a structured security.
SFUN	StructuredFund	Product is a structured fund.

CodeName	Name	Definition
NUCI	NonUCITS	Product is a not an Undertaking for Collective Investment in Transferable Securities (UCITS).

### 65.2.2.171 ProfileType1Code

*Definition:* Specifies the type of profile.

*Type:* CodeSet

CodeName	Name	Definition
HEDG	Hedge	Investor shares that uses defensive operations (hedging), thus avoiding the risk of large swings.
HFTR	HighFrequencyTrader	Investors operating through algorithms and send orders automatically according to the strategies defined by their managers. Through this access model, the participants of these servers are hosted primarily within the premises of Brazilian Market and significantly reduce the time of submission of offers to trading systems.
MAKE	MarketMaker	Agent liquidity, liquidity facilitator, promoter of business, specialist, market maker and liquidity provider are some designations given to those who propose to provide liquidity and minimum reference price for assets previously accredited, factors highlighted in the analysis of efficiency in capital markets.
TREA	Treasury	Trading system of federal securities in the retail market directly to the investor. The operation can be performed directly over the Internet.

### 65.2.2.172 ProformaStatusReason1Code

*Definition:* Specifies the reason for proforma status.

*Type:* CodeSet

CodeName	Name	Definition
MODI	ModificationInProgress	Modification to the account data is in process.
RIGH	Rights	Account opening is waiting for rights holder information.

### 65.2.2.173 Provided1Code

*Definition:* Specifies whether items have been provided.

*Type:* CodeSet

CodeName	Name	Definition
NPRO	NotProvided	Not provided.

CodeName	Name	Definition
PROV	Provided	Provided.

### 65.2.2.174 QuotationType1Code

*Definition:* Specifies the type of quotation.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Quotation expressed as a currency and amount.
PRCT	Percentage	Quotation is expressed as percentage.

### 65.2.2.175 Rank1Code

*Definition:* Specifies the rank of an element (party, market) in a specific environment.

*Type:* CodeSet

CodeName	Name	Definition
PRIM	Primary	Element is the primary one.
SECO	Secondary	Element is the primary one.

### 65.2.2.176 RedemptionCompletion1Code

*Definition:* Specifies the redemption status of the redemption order.

*Type:* CodeSet

CodeName	Name	Definition
RED0	RedemptionNo	It is not necessary to send more redemption order instructions to the executing party to complete the redemption, the executing will generate redemption confirmations automatically.
RED1	RedemptionYes	Additional redemption order instructions must be sent to the executing party order to have the rest of the redemption executed.

### 65.2.2.177 Referred1Code

*Definition:* Indicates if the investor was referred.

*Type:* CodeSet

CodeName	Name	Definition
REFR	Referred	The investor was referred to the fund by a placement agent.
NRFR	NotReferred	The investor was not referred to the fund by a placement agent.

CodeName	Name	Definition
UKNW	NotKnown	It is not known whether the investor was referred to the fund by a placement agent.

### 65.2.2.178 ReferToFundOrderDesk1Code

*Definition:* Indicates that the operation is only possible in restricted circumstances.

*Type:* CodeSet

CodeName	Name	Definition
RFOD	ReferToFundOrderDesk	Indicates that the operation is only possible in restricted circumstances.

### 65.2.2.179 RejectedConfirmationStatusReason1Code

*Definition:* Specifies the reason for a confirmation rejected status.

*Type:* CodeSet

CodeName	Name	Definition
DSAF	DifferentInvestmentAccountDetails	Investment account information not the same as instructed.
DFIN	DifferentFinancialInstrumentDetails	Financial instrument information not the same as instructed.
DBEN	DifferentBeneficiaryDetails	Beneficiary details is not the same as instructed.
DPTD	DifferentPlaceOfTrade	Place of trade not the same as instructed.
DORD	DifferentOrderDateTime	Order date time not the same as instructed.
DCXR	DifferentCancellationRight	Cancellation right not the same as instructed.
DUNB	DifferentUnitsNumber	Units number information not the same as instructed.
DORT	DifferentOrderType	Order type information not the same as instructed.
DROU	DifferentRounding	Rounding information not the same as instructed.
DNAM	DifferentNetAmount	Net amount information not the same as instructed.
DGAM	DifferentGrossAmount	Gross amount information not the same as instructed.
DHRR	DifferentHoldingsRedemptionRate	Holdings redemption rate not the same as instructed.
DGRP	DifferentGroup1Or2Units	Group 1 or 2 units not the same as instructed.
DINP	DifferentIncomePreference	Income preference information not the same as instructed.

CodeName	Name	Definition
DLIR	DifferentLetterIntentReference	Letter Intent reference information not the same as instructed.
DARR	DifferentAccumulationRightReference	Accumulation right reference information not the same as instructed.
DPDI	DifferentPhysicalDeliveryIndicator	Physical delivery indicator information not the same as instructed.
DRSC	DifferentRequestedSettlementCurrency	Requested settlement currency information not the same as instructed.
DNAV	DifferentRequestedNAVCurrency	Requested NAV currency information not the same as instructed.
DFXD	DifferentForeignExchangeDetails	Foreign exchange details information not the same as instructed.
DCHD	DifferentChargeDetails	Charge details information not the same as instructed.
DXOD	DifferentCommissionDetails	Commission details information not the same as instructed.
DTAD	DifferentTaxDetails	Tax details information not the same as instructed.
DPDD	DifferentPhysicalDeliveryDetails	Physical delivery details information not the same as instructed.
DSCA	DifferentSettlementAndCustodyDetails	Settlement and custody details information not the same as instructed.
DPID	DifferentPaymentInstrumentDetails	Payment Instrument details information not the same as instructed.
DSAM	DifferentSettlementAmount	Settlement amount not the same as instructed.
DSDT	DifferentSettlementDate	Settlement date not the same as instructed.
DEXD	DifferentExtensionDetails	Extension information not the same as instructed.
DIMD	DifferentIntermediaryDetails	Intermediary information not the same as instructed.
DTRA	DifferentTotalRedemptionAmount	Total redemption amount not the same as instructed.
DTSA	DifferentTotalSubscriptionAmount	Total subscription amount not the same as instructed.
DACI	DifferentAdditionalCashIn	Additional cash in not the same as instructed.
DACO	DifferentResultingCashOut	Resulting cash out not the same as instructed.
DPSA	DifferentPercentageOfTotalSubscriptionAmount	Percentage of total subscription amount not the same as instructed.
DPRA	DifferentPercentageOfTotalRedemptionAmount	Percentage of total redemption amount not the same as instructed.
DLID	DifferentLegIdentification	Leg Identification not the same as instructed.



CodeName	Name	Definition
DORF	DifferentOrderReference	Confirmation is recognised by the Receiver because the message reference is identified, but the order reference is not the same as instructed.
ULNK	UnknownLinkagesReference	Linked reference is not known.
DREF	DuplicateDealReference	Deal reference is a duplicate of a previously received deal reference.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
IRCU	ReceiversCustodian	Receiver's Custodian is not recognised or is invalid.
IRIN	ReceiversIntermediary	Receiver's Intermediary is not recognised or is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDCU	DeliverersCustodian	Deliverer's Custodian is not recognised or is invalid.
IDIN	DeliverersIntermediary	Deliverer's Intermediary is not recognised or is invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
DMON	SettlementAmount	Settlement Amount is invalid.
DDAT	SettlementDate	Settlement date or transfer date is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Confirmation is not compliant with the service level agreement.
MEUT	MissingEUTaxInformation	EU tax information is missing.
MCOM	MissingCommission	Commission information is missing.
MCHA	MissingCharge	Charge information is missing.
MTAX	MissingTaxInformation	Tax information is missing.
NATA	NotAllowedtoAmend	Amendment of order confirmation not allowed.
ALAT	AmendmentTooLate	Amendment of order confirmation too late.

### 65.2.2.180 RejectedStatusReason11Code

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.

CodeName	Name	Definition
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
ADEA	AfterDeadline	Instruction was received after the Receiver's deadline.
ILLI	AssetsIlliquid	Assets are illiquid.
BMIN	BelowMinimumInitialInvestmentAmount	Amount of subscription is below the minimum initial investment amount.
BMRA	BelowMinimumRedemptionAmount	Amount is below the minimum redemption amount.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
CUTO	CutOffTime	Instruction has been received after the cut-off time.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IDDB	DirectDebit	Direct debit account identification is not recognised or is invalid.
ORRF	DuplicateOrderReference	Order reference is a duplicate of a previously received order.
FEEE	FeeOrCommission	Unrecognised or invalid fee or commission.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
CLOS	FundClosed	Fund is closed and will not take in any more investments.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INSU	InsufficientCapacity	Insufficient capacity.
INTE	Intermediary	Intermediary is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
ICTR	InvalidCreditTransfer	Credit transfer details are incorrect.
IOTP	InvalidOrderType	Order type is invalid.
DFOR	InvalidSecurityForm	Form of the security is wrong, eg, the form of security is registered not bearer or vice versa.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
LOCK	LockUp	Lock-up period is in place.
NRGM	NoCancellationMatch	The cancellation request has been rejected since more than one instruction match to the cancellation criteria.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
MONY	NotEnoughCash	There is not enough cash in the account to process the instruction.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
IPAY	PaymentCard	Payment card details are incorrect.
PRCT	PercentageHoldingBreach	Percentage holding breach, eg, PPM rules; taxation rules (ERISA).
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
PHYS	PhysicalSettlement	Physical Settlement Impossible.
PLCE	PlaceOfTrade	Unrecognised or invalid Place of Trade.
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
RTGS	RTGSSystem	Impossible to use RTGS System.
ISAF	SafekeepingPlace	Safekeeping place is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
SETR	SettlementTransaction	Unrecognised or invalid Settlement Transaction.
IEXE	SubscriberOrRedeemer	Unrecognised or invalid subscriber or redeemer.
SHIG	TooHighUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too high for a subscription.
LATE	TooLate	Instruction was received after market deadline.
SLOW	TooLowUnitsOrAmountToSubscribe	Quantity of units or amount of money in the order is too low for a subscription.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.

CodeName	Name	Definition
UWAI	UnacceptedCommissionWaiving	Percentage of commission waiving exceeds the commission percentage or commission amount.
UDCY	UnacceptedDealCurrency	Deal currency is not supported.
UNAV	UnacceptedNAVCurrency	Net asset value currency is not supported.
UPAY	UnacceptedPaymentMethod	Payment method, eg, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.
ULNK	UnknownLinkagesReference	Linked reference is not known.
UNSC	UnacceptableSwitchCombination	Instruction specifies an unacceptable combination for the financial instruments in the switch order.
POIN	DifferentValuationPoints	Order contains funds that have different valuation points.

### 65.2.2.181 RejectedStatusReason12Code

*Definition:* Specifies the reason for a transfer or settlement instruction rejected status.

*Type:* CodeSet

CodeName	Name	Definition
BLCA	AccountBlockedForCorporateAction	Investment account is blocked due to a corporate action.
DOCC	AccountBlockedMissingDocuments	Investment account is blocked until certain legal proceedings are completed, for example, legal documents from the successor, legal proceedings due to bankruptcy.
IAQD	AcquisitionDate	Acquisition date is not recognised or is invalid.
ICTN	CertificateNumber	Certificate number is not recognised or is invalid.
CYPA	CurrentYearPartial	Partial transfer of current year is not allowed, that is, it is not possible to transfer one asset for the current year as other assets are held for the current year.
TREF	DuplicateTransferReference	Transfer reference is a duplicate of a previously received transfer.
DSEC	FinancialInstrumentIdentification	Identification of the security is not recognised or is invalid.
IDNA	FinancialInstrumentIdentificationAndName	Identification of the security and the security name are not the same.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity is invalid.
FTAX	FinancialInstrumentTaxYear	Financial instrument is not valid for the requested tax year.

CodeName	Name	Definition
INID	InsufficientInvestorData	Investor data is insufficient. Applicable when the mandated market practice is not followed.
INAC	InvalidAccountServicer	Account servicer is not recognised or is invalid.
CASH	InvalidCashAccount	Cash account is not recognised or invalid.
INPM	InvalidNewPlanManager	New plan manager is not recognised or is invalid.
INNA	InvalidNomineeAccount	Nominee account is not recognised or is invalid.
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
INUK	InvestorNameAddressUnknown	Investor name and address is not recognised.
LEGL	LegallyImpossible	Legally impossible to cancel.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
SECU	NotEnoughFinancialInstrument	There are not enough securities in the account to process the instruction.
PTNS	PartialNotSupported	Partial transfer is not supported. Applicable when tax years are rolled up and because, for example, a transfer request for tax year 2000 only is received, it is not possible to process the transfer as the investor holds other tax years as well.
DLVY	PhysicalDeliveryImpossible	Order contains physical delivery details but the fund can not be physically delivered.
DDAT	SettlementDate	Cash settlement date is not recognised or is invalid.
ISTP	SettlementParties	One or several settlement parties are not recognised or are invalid.
DEPT	SettlementPlace	Place of settlement is not recognised or is invalid.
ISAT	InvalidISAType	ISA type is not recognised or invalid.
OTHR	Other	Another reason for the status rejected.
NCON	NotConvertible	The two share classes are not part of the same fund.
ACLO	AssetClosed	Asset instructed for transfer is closed.
NASS	AssetNotSupported	Asset does not support reregistration.
NQTY	QuantityBelowMinimum	Transfer quantity is too small.
BLTR	AccountBlockedForTransfer	Investment account is blocked due to a transfer out of investment funds.

CodeName	Name	Definition
COSE	AlreadyExecuted	Order or transfer has already been executed and confirmation has been sent.
ILLI	AssetsIlliquid	Assets are illiquid.
BMRV	BelowMinimumRetainedAmount	Holding will be below the minimum retained value.
DINV	DataInvalid	Data in the order or transfer instruction is invalid.
ICAG	DeliveringAgent	Delivering agent is not recognised or is invalid.
IPAC	InstructingPartyNotAllowedForAccount	Instructing party is not allowed to instruct for this investment account.
INTE	Intermediary	Intermediary is not recognised or is invalid.
DMON	InvalidSettlementAmount	Unrecognised or invalid settlement amount.
PRCT	PercentageHoldingBreach	Percentage holding breach, eg, PPM rules; taxation rules (ERISA).
IVAG	ReceivingAgent	Receiving agent is not recognised or is invalid.
NCRR	SettlementAmountCurrency	Unrecognised or invalid Settlement Amount Currency.
DTRD	TradeDate	Unrecognised or invalid trade date or requested trade date or future trade date.
UPAY	UnacceptedPaymentMethod	Payment method, eg, cheque or payment card, is not accepted.
URSC	UnacceptedRequestedSettlementCurrency	Settlement currency requested is not supported.

### 65.2.2.182 RejectedStatusReason6Code

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
SAFE	InvestmentAccount	Investment account identification is not recognised or is invalid.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.

### 65.2.2.183 RejectedStatusReason8Code

*Definition:* Specifies the reason for a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
CUTO	CutOffTime	Instruction has been received after the cut-off time.
NALC	NotAllowedToCancel	Instructing party is not allowed to request a cancellation.
NSLA	NotCompliantWithSLA	Instruction is not compliant with the service level agreement.
LEGL	LegallyImpossible	Legally impossible to cancel.

### 65.2.2.184 ResidentialStatus1Code

*Definition:* Specifies the residential status of an individual.

*Type:* CodeSet

CodeName	Name	Definition
RESI	Resident	Resident.
PRES	PermanentResident	Permanent resident.
NRES	NonResident	Non-resident.

### 65.2.2.185 RestrictionStatus1Code

*Definition:* Specifies the status of a restriction.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	Active	Status of the restriction is active.
INAC	Inactive	Status of the restriction is inactive.

### 65.2.2.186 ReversalCode

*Definition:* Specifies if an operation is the result of a reversal operation.

*Type:* CodeSet

CodeName	Name	Definition
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

### 65.2.2.187 RiskLevel1Code

*Definition:* Specifies the risk level.

*Type:* CodeSet

CodeName	Name	Definition
HIGH	High	High.
LOWW	Low	Low.

CodeName	Name	Definition
MEDM	Medium	Medium.

### 65.2.2.188 RoundingDirection1Code

*Definition:* Specifies the rounding direction.

*Type:* CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.
STAN	RoundToNearest	Round up or down to the nearest whole number.
DIST	IssueFraction	Do not round.

### 65.2.2.189 RoundingDirection2Code

*Definition:* Specifies the rounding direction applied to nearest unit.

*Type:* CodeSet

CodeName	Name	Definition
RDUP	RoundUp	Round up to the nearest whole number.
RDWN	RoundDown	Round down to the nearest whole number.

### 65.2.2.190 SafekeepingPlace1Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

### 65.2.2.191 SafekeepingPlace2Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet



CodeName	Name	Definition
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.

### 65.2.2.192 SecuritiesAccountPurposeType1Code

*Definition:* Specifies the purpose of the securities account.

*Type:* CodeSet

CodeName	Name	Definition
MARG	Margin	Account is used when financing is done by the broker.
SHOR	ShortSale	Account is used for short sale orders.
ABRD	Abroad	Account is located in a financial institution outside the country where the transaction is taking place.
CEND	Centralised	Account and all its related positions are held in one location.
DVPA	CashDVP	Account is used for settlement upon delivery, or a collection on a delivery basis.
PHYS	Physical	Account is used for physical domestic safekeeping.

### 65.2.2.193 SecuritiesBalanceType1Code

*Definition:* Specifies the nature of the securities or investment fund balance.

*Type:* CodeSet

CodeName	Name	Definition
BLOK	Blocked	Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy.
BORR	Borrowed	Balance of securities that have been borrowed from another party.
COLI	CollateralIn	Balance of securities that belong to a third party and that are held for the purpose of collateralisation.
COLO	CollateralOut	Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.
LOAN	OnLoan	Balance of securities that have been loaned to a third party.

CodeName	Name	Definition
MARG	DerivativesMargin	Balance of securities that are used as collateral for derivatives.
PDMT	PendingDeliveryMatchedBalance	Balance of securities pending delivery that have been matched. This is only applicable in a CSD to participant communication.
PRMT	PendingReceiptMatchedBalance	Balance of securities pending receipt that have been matched. This is only applicable in a CSD to participant communication.
PRUM	PendingReceiptUnmatchedBalance	Balance of securities pending receipt that are unmatched. This is only applicable in a CSD to participant communication.
PECA	PendingCorporateAction	Balance of securities, before ex-date, that are involved in a corporate action (CA). Securities blocked due to a CA, for example, proxi, in escrow, are to be identified in the BLOK sub-balance.
PEND	PendingDelivery	Balance of securities that are pending delivery.
PENR	PendingReceipt	Balance of securities that are pending receipt.
PLED	Pledged	Balance of securities that are pledged, for example, a financial instrument is unavailable because it has been used or given as a guarantee.
PDUM	PendingDeliveryUnmatchedBalance	Balance of securities pending delivery that are unmatched. This is only applicable in a CSD to participant communication.
REGO	OutForRegistration	Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled.
RSTR	Restricted	Balance of securities that may only be sold under certain conditions or require legal documents.
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
TRAN	InTransshipment	Balance of physical securities that are in transshipment, eg, in the process of being transferred from one depository or agent to another.
DRAW	Drawn	Balance of securities that are drawn for redemption.
WDOC	WaitingDocumentation	Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order.

CodeName	Name	Definition
BTRA	BeingTransferred	Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register.

### 65.2.2.194 SecuritiesBalanceType2Code

*Definition:* Specifies the nature of the securities or investment fund balance.

*Type:* CodeSet

CodeName	Name	Definition
CLEN	TaxExempt	Balance of tax-exempt securities.
DIRT	NonTaxExempt	Balance of taxable securities.
NOMI	Registered	Balance of securities that are registered (in the name of a nominee or of the beneficial owner).
OTHR	Unclassified	Balance of securities that is unclassified, ie, is not identified with one of the existing sub-balance types.
SPOS	StreetPosition	Balance of securities that remain registered in the name of the prior beneficial owner of securities.
UNRG	Unregistered	Balance of securities that could not be registered due to foreign ownership limitation.

### 65.2.2.195 SettledStatusReason2Code

*Definition:* Partial settlement status information or information about gating.

*Type:* CodeSet

CodeName	Name	Definition
CPST	CashPartiallySettled	Cash is partially settled.
GATM	GatedMultipleNAV	Redemption has been gated. Multiple redemptions and multiple prices will be required.
GAT1	GatedOneNAV	Redemption has been gated, all settlement will be done at the same price.
UCPS	UnitsCashPartiallySettled	Units and cash are both partially settled.
UPST	UnitsPartiallySettled	Units are partially settled.

### 65.2.2.196 SettlementDate1Code

*Definition:* Indicates the date of settlement in coded form.

*Type:* CodeSet

CodeName	Name	Definition
ASAP	AsSoonAsPossible	Transfer is to be effected as soon as possible.

CodeName	Name	Definition
ENDC	AtEndOfContract	Transfer is to be effected at the end of the contract.
WHIF	WhenAndIfIssued	Settlement takes place when the financial instrument is issued by the issuer.

### 65.2.2.197 SettlementInstructionReason1Code

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
CSHI	AllCredits	Settlement of all credit amounts.
ALLL	AllCreditsAndDebits	Settlement of all credit and debit amounts.
CSHO	AllDebits	Settlement of all debit amounts.
CHAR	Charges	Settlement of charges.
DIVI	Dividend	Settlement of dividends.
INTE	Interest	Settlement of interest.
SAVP	InvestmentSavingsPlan	Settlement of investments to a savings plan.
REDM	Redemption	Settlement of redemptions or redemption legs of a switch transaction.
SAVE	SavingsPlan	Settlement of investments to a savings plan and withdrawals from a savings plan.
BUYI	SecuritiesPurchase	Settlement of securities purchases.
SELL	SecuritiesSale	Settlement of securities sales.
SUBS	Subscription	Settlement of subscriptions or subscription legs of a switch transaction.
WTHP	WithdrawalSavingsPlan	Settlement of withdrawals from a savings plan.
CORP	CorporateAction	Settlement of corporate actions.

### 65.2.2.198 SettlementTransactionCondition11Code

*Definition:* Specifies the conditions under which a order/trade is to be settled.

*Type:* CodeSet

CodeName	Name	Definition
NOMC	NoAutomaticMarketClaim	No market claim should be automatically generated.

### 65.2.2.199 SignatureType1Code

*Definition:* Type of signature form.

Type: CodeSet

CodeName	Name	Definition
ORIG	Original	The investor's written signature is required. Can also be known as physical or wet signature.
DIGI	Digital	A technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	A copy of a physical or original signature in an electronic format.
NONE	None	There is no signature required in any form.

### 65.2.2.200 SignatureType2Code

Definition: Type of signature.

Type: CodeSet

CodeName	Name	Definition
DIGI	Digital	Technical signature that includes algorithms and private key and public key information. Used to sign and verify the contents of a message.
ELEC	Electronic	Copy of a physical or original signature in an electronic format.
NONE	None	No signature.
ORIG	Original	Written signature. May also be known as a physical or wet signature.

### 65.2.2.201 SourceOfCash1Code

Definition: Specifies the origin of cash.

Type: CodeSet

CodeName	Name	Definition
ALMY	Alimony	Income as a result of alimony.
CASH	CashProceeds	Income is cash proceeds from customers.
COMP	Compensation	Income is from compensation received.
EMIN	EmployeeIncome	Employee income.
GIFT	Gift	Income was a cash gift.
INHE	Inheritance	Cash from an inheritance.
INLQ	InsurancePremiumLiquidation	Income from the liquidation of an insurance premium.
REST	RealEstateSale	Income from the sale of real estate.
REDM	Redemption	Redemption of an investment fund.

CodeName	Name	Definition
REPY	RetirementPolicy	Income from a retirement policy.
SEAQ	SaleAquisitionCorporation	Sale and acquisition of a corporation.
SALE	SaleOfGoods	Sale of goods.
SVGS	Savings	Income from a savings plan.
SELF	SelfEmploymentIncome	Income from self-employment.
WINS	Winnings	Income from a cash win.

### 65.2.2.202 StampDutyType2Code

*Definition:* Specifies if the stamp duty is applicable.

*Type:* CodeSet

CodeName	Name	Definition
ASTD	Applicable	Stamps duty is applicable.
SDRN	NotApplicable	Stamp duty not applicable.

### 65.2.2.203 StatementBasis1Code

*Definition:* Specifies the type of balances on which the statement is prepared.

*Type:* CodeSet

CodeName	Name	Definition
CONT	Contractual	The statement is based on contractual settlement date irrespective of settled data positions.
SETT	Settled	The statement is based on settled date positions to the knowledge of the sender at the time of the statement preparation.
TRAD	Traded	The statement is based on trade date positions.

### 65.2.2.204 StatementUpdateTypeCode

*Definition:* Specifies the nature of a statement update, eg, it is a complete statement.

*Type:* CodeSet

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

### 65.2.2.205 SuspendedStatusReason3Code

*Definition:* Specifies the reason for a suspended status.

*Type:* CodeSet

CodeName	Name	Definition
PRIC	PriceSuspension	There is a suspension of pricing. The order will stay on the books until the next pricing.
FLOW	Overflow	There is a fund overflow.

### 65.2.2.206 TargetMarket1Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NEUT	Neutral	Neutral or has no impact.
NSCO	NotInScope	No, is not applicable.

### 65.2.2.207 TargetMarket2Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
NEUT	Neutral	Neutral or has no impact.
YSCO	InScope	Yes, is applicable.

### 65.2.2.208 TargetMarket3Code

*Definition:* Specifies whether a financial product is in scope of a target market parameter.

*Type:* CodeSet

CodeName	Name	Definition
YSCO	InScope	Yes, is applicable.
NSCO	NotInScope	No, is not applicable.

### 65.2.2.209 TaxableIncomePerShareCalculated2Code

*Definition:* Specifies whether the fund calculates a taxable interest per share (TIS).

*Type:* CodeSet

CodeName	Name	Definition
TSIY	FundCalculates	Fund is calculating the taxable interest per share with the NAV.
TSIN	FundDoesNotCalculate	Fund is not calculating the taxable interest per share with the NAV.
UKWN	FundCalculatesUnknown	Unknown whether the fund is calculating the taxable interest per share with the NAV.

**65.2.2.210 TaxationBasis2Code**

*Definition:* Specifies the tax basis.

*Type:* CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**65.2.2.211 TaxationBasis5Code**

*Definition:* Specifies the tax or charge basis.

*Type:* CodeSet

CodeName	Name	Definition
FLAT	Flat	Charge/tax basis is a lump sum.
GRAM	GrossAmount	Charge/Commission/tax basis is based on the gross amount.
NEAM	NetAmount	Charge/commission/tax basis is based on the net amount.
NAVP	NetAssetValuePrice	Charge/tax basis is the price.
PERU	PerUnit	Charges/tax basis is per unit of financial instrument.

**65.2.2.212 TaxEfficientProductType2Code**

*Definition:* Specifies a type of tax efficient product.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Cash individual savings account. In the UK, this is known as a cash ISA.
CLIS	CashLISA	Cash lifetime individual savings account. In the UK, this is known as a cash LISA.
FISA	Flexible	Flexible individual savings account. In the UK, this is known as a FISA.
GISK	GeneralInvestmentSavingsAccount	General investment savings account. (Known as Investeringsparkonto (ISK) in some markets.)
GASK	GeneralShareSavingsAccount	General shares or equity savings account. (Known as ASK in some markets.)
HISA	HelpToBuy	Help to buy individual savings account. In the UK, this is known as a HISA.
INNFI	InnovativeFinance	Innovative finance individual savings account. In the UK, this is known as an innovative ISA.



CodeName	Name	Definition
JCSH	JuniorCash	Junior cash individual savings account. In the UK, this is known as a cash JISA.
JISA	JuniorStocksAndSharesISA	Junior stocks and shares individual savings account. In the UK, this is known as a stocks and shares JISA.
LISA	Lifetime	Stocks and shares lifetime individual savings account. In the UK, this is known as a stocks and shares LISA.
CCTF	NonStakeholderChildTrustFund	Non-stakeholder child trust fund individual savings account. In the UK, this is known as a non-stakeholder CTF ISA.
SCTF	StakeholderChildTrustFund	Stakeholder child trust fund individual savings account. In the UK, this is known as a stakeholder CTF ISA.
EQUI	StocksAndShares	Stocks and shares individual savings account. In the UK, this is known as a stocks and shares ISA.

### 65.2.2.213 TaxExemptReason1Code

*Definition:* Specifies the reason a specific tax has not been levied/deducted on a given transaction.

*Type:* CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).

CodeName	Name	Definition
IISA	MiniInsurancelSA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in

CodeName	Name	Definition
		which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).

CodeName	Name	Definition
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).

### 65.2.2.214 TaxExemptReason3Code

*Definition:* Specifies the reason a specific tax has not been levied/deducted on a given transaction.

*Type:* CodeSet

CodeName	Name	Definition
NONE	None	Account is not tax exempt.
MASA	MaxiISA	Maxi Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). The Maxi ISA allows an investor to save all three of the different elements of ISA investments that are allowed, with one savings institution in a single account.
MISA	MiniCashISA	Mini Cash Individual Savings Account (ISA). Account is an ISA with a single ISA manager that may contain cash, stocks and shares, investment funds and life assurance up to the prescribed annual subscription limit (required for UK). An investor can hold more than one Mini ISA to utilise the overall Mini ISA investment limit, and can invest with more than one savings institution, however only one of the three elements of ISA investment is allowed in a single account.
SISA	MiniStocksAndSharesISA	Mini Stocks and Shares Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain stocks, shares and collective investments up to the prescribed annual subscription limit (required for UK).
IISA	MiniInsurancelISA	Mini Insurance Individual Savings Account (ISA). Account is an ISA with an ISA manager that may only contain life insurance investments up to the prescribed annual subscription limit (required for UK).
CUYP	CurrentYearPayment	Account is for current year payments into an investment retirement account (required for US).

CodeName	Name	Definition
PRYP	PriorYearPayment	Account is for a prior year payment into an investment retirement account (required for US).
ASTR	AssetTransfer	Account is for an asset transfer into an investment retirement account (required for US).
EMPY	EmployeePriorYear	Account is for employee - prior year contributions into an investment retirement account (required for US).
EMCY	EmployeeCurrentYear	Account is for employee - current year contributions into an investment retirement account (required for US).
EPRY	EmployerPriorYear	Account is for employer - prior year contributions into an investment retirement account (required for US).
ECYE	EmployerCurrentYear	Account is for employer - current year contributions into an investment retirement account (required for US).
NFPI	NonFundPrototypeIRA	Account is for non-fund prototype Individual Retirement Account (IRA) into an investment retirement account (required for US).
NFQP	NonFundQualifiedPlan	Account is for non-fund qualified plan into an investment retirement account (required for US).
DECP	DefinedContributionPlan	Account is for a defined contribution plan (required for US).
IRAC	IndividualRetirementAccount	Account is an Individual Retirement Account (IRA) (required for US).
IRAR	IndividualRetirementAccountRollover	Account is for an Individual Retirement Account (IRA) - Rollover (required for US).
KEOG	KEOGH	KEOGH. Account is a tax-deferred retirement plan designed to help self-employed workers or individuals who earn self-employed income establish a retirement savings program (required for US).
PFSP	ProfitSharingPlan	Account is a Profit Sharing Plan (required for US).
401K	FourHundredAndOneK	401k. Account is an optional retirement plan supported by many companies, in which income is invested before it is taxed (required for US).
SIRA	SelfDirectedIRA	Self-Directed Individual Retirement Account (IRA) (required for US).
403B	FourHundredAndThreeB	403(b). Account is a tax-deferred investment and savings program for employees of hospitals, educational institutions and other non-profit organisations, to save and invest in their own retirement. The name refers to the

CodeName	Name	Definition
		relevant section in the US Internal Revenue Code (required for US).
457X	FourHundredFiftySeven	457. Account is a non-qualified deferred compensation program that is available to state and local governments and not-for-profit employers (required for US).
RIRA	RothIRAFundPrototype	Roth Individual Retirement Account (IRA) Fund Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RIAN	RothIRANonPrototype	Roth Individual Retirement Account (IRA) Non-Prototype. Account is a tax-deferred retirement account based on the reverse principle of a traditional IRA. Retirement contributions are taxed upfront, but withdrawals may be made tax-free when a certain age is reached, provided the Roth IRA has been set up for a certain period of time (required for US).
RCRF	RothConversionIRAFundPrototype	Roth Conversion Individual Retirement Account (IRA) Fund Prototype. Account is a retirement account established when a party switches from a regular IRA ( required for US).
RCIP	RothConversionIRANonPrototype	Roth Conversion Individual Retirement Account (IRA) Non-Prototype. Account is a retirement account established when a party switches from a Regular IRA (required for US).
EIFP	EducationIRAFundPrototype	Education Individual Retirement Account Fund Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required for US).
EIOP	EducationIRANonPrototype	Education Individual Retirement Account Non-Prototype (also known as an Education Savings Account). Account is a savings plan open to anyone under the age of 18. When the account owner withdraws money to pay for qualified higher education expenses, the withdrawals are generally tax-free (required in the US).
FORE	Foreigner	Account is for a foreigner for which a tax exemption is permitted.
INCA	Incapacity	Exemption due to incapacitation.

CodeName	Name	Definition
MINO	Minor	Account is for a minor for which a tax exemption is permitted.
ASSO	Association	Account is for an association, for example, a sports club, for which a tax exemption is permitted.
DIPL	Diplomat	Account is for a diplomat for which a tax exemption is permitted.
DOME	Domestic	Account is for two account owners that are both domestic.
FORP	OneOrBothForeign	Account is for two account owners where one or both are foreign.
ORDR	Ordinary	Ordinary reporting.
PENF	PensionFund	Account is for a pension fund for which a tax exemption is permitted.
REFU	Refugee	Account is for a refugee or person without a number assigned by a government organisation, for example, without a Danish Central Securities Number.
RIHO	RightsHolder	Account is for a rights holder.
ADMI	Administrator	Administrator of the account is not the owner.
TANR	TwoNonResident	Two or more of the account owners are foreign residents.
OANR	OneNonResident	One of the account owners is a foreign resident.

### 65.2.2.215 TaxType12Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-

CodeName	Name	Definition
		related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.
MIET	Mietgewinn	Earnings from renting.

### 65.2.2.216 TaxType16Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
LEVY	PaymentLevyTax	Tax levied on a payment.
LOCL	LocalTax	Tax that is charged by a local settlement system or local jurisdiction.
NATI	NationalTax	Tax is a national tax.
PROV	Provincial	Tax is a provincial tax.
STAM	StampDuty	Tax is on certain documents and transactions.
STAT	StateTax	Tax is a state tax.
STEX	StockExchangeTax	Tax collected by a stock exchange.
TRAN	TransferTax	Tax levied on a transfer.
TRAX	TransactionTax	Tax levied on a transaction.
VATA	ValueAddedTax	Tax is a value added tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.



## 65.2.2.217 TaxType17Code

*Definition:* Specifies the type of tax.

*Type:* CodeSet

CodeName	Name	Definition
PROV	Provincial	Tax is a provincial tax.
NATI	NationalTax	Tax is a national tax.
STAT	StateTax	Tax is a state tax.
WITH	WithholdingTax	Tax is on income deducted at source, which the paying agent is legally obliged to deduct from its payments of interest on deposits and other proceeds of a financial instrument.
KAPA	CapitalGainTax	Tax is on a capital gain (realised and unrealised), that is, the profit that is gained from the sale of a financial instrument.
NKAP	CapitalLossCredit	Tax recovery is due to capital loss.
INPO	InterimProfitTax	Tax is on the sum of all earnings/ revenues accrued since the last dividend distribution.
STAM	StampDuty	Tax is on certain documents and transactions.
WTAX	WealthTax	Tax is a special tax imposed, applicable only when the value of assets or categories of assets owned by an entity are above a given ceiling defined by the tax authority. Wealth tax is not linked to income.
INHT	InheritanceTax	Tax that is payable at the time of death on any items (money or otherwise), where ownership changes either upon death or within a legally specified number of years before death.
SOSU	SolidaritySurcharge	Tax that is levied by legal authorities for solidarity purposes.
CTAX	TaxCredit	Direct reduction of an individual's tax liability.
GIFT	GiftTax	Tax that is levied on assets given to individuals prior to the death of the donor. Gift tax is designed to ensure the integrity of the inheritance tax, preventing the pre-death transfer of wealth.
COAX	ConsumptionTax	Tax that is levied on goods and services purchased by customers, and is added to the retail price.
EUTR	EUTaxRetention	Tax withheld at source in the framework of the European Directive on taxation of savings in the form of interest payments.
AKT1	Aktiengewinn1	Share-related profit. This is a tax specific to the German market. The share-

CodeName	Name	Definition
		related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the old Investment Tax Act (Investmentsteuergesetz).
AKT2	Aktiengewinn2	Share-related profit. This is a tax specific to the German market. The share-related-profit gives the fund the opportunity to pass on to the institutional investor redeeming fund units certain tax-free income from equity. The calculation method is based on the new Investment Tax Act (Investmentsteuergesetz).
ZWIS	Zwischengewinn	Zwischengewinn.

### 65.2.2.218 TaxWithholdingMethod3Code

*Definition:* Specifies the method by which the tax on the interests is to be processed i.e. either withheld at source or reported to tax authorities or a tax certificate has been provided by the beneficiary.

*Type:* CodeSet

CodeName	Name	Definition
MITX	MinorityInterestTax	Minority interest tax is withheld.
INVE	InvestmentCompany	Withholding tax is applied to an investment company.
ACCT	Accountant	Dividend tax is exempt according to the accountant.
EXMT	Exempt	Dividend tax is exempt.
REPT	ReportTax	Tax information is reported to the tax authorities and therefore not withheld at source.
CRTF	TaxCertificate	Tax certificate is provided by the beneficiary from its tax authority in its country of residence. Therefore, the obligation of withholding tax is waived and tax information will be reported to the tax authorities.
WHCO	WithholdingCorporateTax	Withholding tax is applied to a corporate.
WTHD	WithholdTax	Tax is withheld at source.
WTRE	WithholdTaxAndReport	Tax is withheld at source and the tax information is also reported to the tax authorities.

### 65.2.2.219 TaxWrapperAmountType1Code

*Definition:* Specifies a type of amount.

*Type:* CodeSet

CodeName	Name	Definition
BONU	Bonus	Type of amount is a bonus, for example, a government bonus.
WTHD	Withdrawal	Type of amount is a withdrawal, for example, a withdrawal for a first time residential purchase.

#### 65.2.2.220 TimeFrame2Code

*Definition:* Specifies a time frame.

*Type:* CodeSet

CodeName	Name	Definition
HOLD	Hold	Hold to maturity.
LONG	LongTerm	Greater than five years.
MEDM	MediumTerm	Greater than or equal to three years.
SHOR	ShortTerm	Greater than or equal to one year.
VSHT	VeryShortTerm	Less than one year.

#### 65.2.2.221 TradeTransactionCondition5Code

*Definition:* Specifies the conditions under which the order/trade is to be/was executed.

*Type:* CodeSet

CodeName	Name	Definition
XCPN	ExCoupon	Indicates whether the trade is executed ex coupon.
CCPN	CumCoupon	Indicates whether the trade is executed cum coupon.

#### 65.2.2.222 TradingCapacity8Code

*Definition:* Specifies the role of a trading party in a transaction.

*Type:* CodeSet

CodeName	Name	Definition
AGEN	Agent	Trading as Agent on behalf of a customer.
PRIN	Principal	Trading as Principal.

#### 65.2.2.223 TransactionChannel2Code

*Definition:* Specifies the type of communication channel.

*Type:* CodeSet

CodeName	Name	Definition
FIAD	FinancialAdvisor	Financial advisor.
HOBA	HomeBanking	Home banking.

CodeName	Name	Definition
BRAN	OfficeOrBranch	Office or branch.

#### 65.2.2.224 TransactionStatus1Code

*Definition:* Specifies the processing status of an investment fund transaction.

*Type:* CodeSet

CodeName	Name	Definition
RVSL	Reversal	Transaction has been reversed.
REBO	Rebooked	Transaction has been rebooked.
CANC	Cancelled	Transaction has been cancelled.

#### 65.2.2.225 TransactionType2Code

*Definition:* Specifies the type of transaction.

*Type:* CodeSet

CodeName	Name	Definition
REDM	Redemption	Transaction is a redemption of an investment fund.
SUBS	Subscription	Transaction is a subscription to an investment fund.
SSPL	SubscriptionSavingsPlan	Transaction is a subscription for a savings plan, that is, money set aside by individuals in the framework of a structured plan for a special purpose, for example, retirement.
RWPL	RedemptionWithdrawingPlan	Transaction is a withdrawal by individuals in the framework of a structured plan for investments made in the past.
TRIN	TransferIn	Transaction is an incoming credit to an account on the shareholders register, and is not linked to a shift in investment (subscription or switch), but to account management.
TOUT	TransferOut	Transaction is a debit to an account on the shareholders register, and is not linked to a shift in investment (redemption or switch), but to account management.
SWII	SwitchIn	Transaction is a subscription leg of a switch order execution.
SWIO	SwitchOut	Transaction is a subscription leg of a switch order execution.
SUAA	SubscriptionAssetAllocation	Transaction is a subscription in an asset allocation plan that enables investors to allocate, by percentage a certain amount of cash into several sub-funds of a same umbrella structure.

CodeName	Name	Definition
REAA	RedemptionAssetAllocation	Transaction is a redemption in an asset allocation plan which enables investors to withdraw, by percentage a certain amount of cash from several sub-funds of a same umbrella structure.

### 65.2.2.226 TransferInFunction1Code

*Definition:* Specifies the function of the transfer in.

*Type:* CodeSet

CodeName	Name	Definition
ADRE	AdviceAndRequest	The transfer-in is an advice and request, that is, the message is used to inform the receiver to expect an unsolicited transfer in confirmation and to request account information for the transfer.
INST	Instruction	The transfer-in is an instruction.

### 65.2.2.227 TransferInFunction2Code

*Definition:* Specifies the function of the transfer in confirmation.

*Type:* CodeSet

CodeName	Name	Definition
CONF	Confirmation	The transfer-in is a confirmation (rather than an advice).
ADVI	Advice	The transfer-in provides advice about account information for a transfer.

### 65.2.2.228 TransferReason1Code

*Definition:* Specifies the reason for the assets transfer.

*Type:* CodeSet

CodeName	Name	Definition
TRAU	UndividedPossession	Transfer is an undivided possession.
TRAC	TransferBetweenSpouses	Transfer is between spouses.
TRAT	Trade	Transfer is a trade.
TRAO	OrdinaryTransfer	Transfer is ordinary.
TRAI	Heritage	Transfer is a heritage.
TRAG	Gift	Transfer is a gift.
TPLD	PledgedAccountTransfer	Transfer to pledged account (in certain circumstances distributors have to freeze and transfer total or partial holding to separate omnibus account e.g. investigation required by fiscal authority or police).

CodeName	Name	Definition
TTDT	TDTFrameworkTransfer	Transfer instruction executed within TDT framework (TDT framework is the operation model promoted by the Italian Banking Association for transfer and most of transfers, but not all, will be executed in accordance with that process).
TRPE	TransferBetweenDifferentBeneficiaries	Transfer between different beneficiaries with taxation to be applied (accounts with different owner).
TRAF	Demerger	Transfer is the result of a demerger or division.
TRAN	BetweenOwnAccounts	Transfer is between own accounts.

### 65.2.2.229 TransferStatus6Code

*Definition:* Specifies a transfer or settlement instruction status.

*Type:* CodeSet

CodeName	Name	Definition
PACK	Accepted	Transfer or settlement instruction has been acknowledged / accepted for further processing.
COSE	AlreadyExecuted	Transfer or settlement instruction is fully executed and the confirmation is sent.
COMP	Complete	Portfolio transfer is complete.
DELY	Delayed	Transfer or settlement instruction is delayed.
MACH	Matched	Transfer or settlement instruction is matched.
RECE	Received	Instruction has been received, that is, technical validation of the message is ok, and the message is now at the receiving side.
STNP	SentToNextParty	Transfer or settlement instruction has been sent to the next party, that is, the next intermediary.
SETT	Settled	Transfer or settlement instruction is settled.

### 65.2.2.230 TransferStatusType1Code

*Definition:* Specifies a type of transfer status or transfer event.

*Type:* CodeSet

CodeName	Name	Definition
S019	AccountHoldingInformationRequest	Status report is sent in response to an account holding information request.

CodeName	Name	Definition
BCEV	BenefitCrystallisationEvent	Status report advises one or more Benefit Crystallisation Events (BCE) have occurred.
DRAW	Drawdown	Status report advises one or more drawdowns.
PAYA	PaymentAdvice	Status report advises cash is or has been instructed.
S012	PortfolioTransferInstruction	Status report is sent in response to a portfolio transfer instruction.
S005	TransferInInstruction	Status report is sent in response to a transfer-in instruction.
S001	TransferOutInstruction	Status report is sent in response to a transfer-out instruction.
SETT	CSDorICSDSettlementInformation	Status report is sent to provide information required for a CSD or ICSD settlement leg.

### 65.2.2.231 TransferType4Code

*Definition:* Specifies whether a financial instrument is transferred as an asset or as cash.

*Type:* CodeSet

CodeName	Name	Definition
CASH	Cash	Transfer as cash.
CONV	Conversion	ISIN is converted to another ISIN and then transferred.
EXCL	Excluded	Asset excluded from transfer.
SECU	InSpecie	Transfer the security as an asset in specie, that is, 'in its actual form'.

### 65.2.2.232 TransferUnmatchedReason3Code

*Definition:* Specifies the reason the transaction, transfer or settlement instruction is unmatched.

*Type:* CodeSet

CodeName	Name	Definition
CMIS	NoMatch	No potential match has been found.
CPCA	CounterpartyCancelled	Counterparty has cancelled the transaction/instruction.
DELN	TransactionDirection	Direction of transaction does not match: delivery instead of receipt or vice versa.
DSEC	FinancialInstrument	Financial instrument identification does not match or a financial instrument attribute differs.
PHYS	PhysicalSettlement	Settlement does not match: counterparty's instruction is for physical settlement, your instruction is not, or vice versa.

CodeName	Name	Definition
PODU	Duplicate	Instruction has not been matched: it is a possible duplicate instruction.
DEPT	SettlementPlace	Place of settlement does not match.
DDAT	SettlementDate	Settlement date or transfer date does not match.
DQUA	FinancialInstrumentQuantity	Financial instrument quantity does not match.
ICUS	ReceivingOrDeliveringCustodian	Delivering or receiving custodian does not match.
SAFE	SafekeepingAccount	Safekeeping account used as a matching criteria on the market concerned does not match.

### 65.2.2.233 TypeOfIdentification1Code

*Definition:* Specifies the type of alternate identification which can be used to give an alternate identification of the party identified.

*Type:* CodeSet

CodeName	Name	Definition
ARNU	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.
CCPT	PassportNumber	Number assigned by a passport authority.
CHTY	TaxExemptIdentificationNumber	Number assigned to a tax exempt entity.
CORP	CorporateIdentification	Number assigned to a corporate entity.
DRLC	DriverLicenseNumber	Number assigned to a driver's license.
FIIN	ForeignInvestmentIdentityNumber	Number assigned to a foreign investor (other than the alien number).
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

### 65.2.2.234 TypeOfPrice10Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a



CodeName	Name	Definition
		single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.

### 65.2.2.235 TypeOfPrice11Code

*Definition:* Specifies the type of price and information about the price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.

CodeName	Name	Definition
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
MRKT	Market	Price is the current market price.
INDC	Indicative	Price is the estimated indicative price.

### 65.2.2.236 TypeOfPrice6Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.

CodeName	Name	Definition
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
OTHR	Other	Price is another type of price, which is not explicitly defined.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.

### 65.2.2.237 TypeOfPrice9Code

*Definition:* Specifies the type of price.

*Type:* CodeSet

CodeName	Name	Definition
BIDE	Bid	Price is the calculated bid price of a dual-priced fund (offer-bid prices), that

CodeName	Name	Definition
		is, the selling price of the units for the investor.
OFFR	Offer	Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), that is, the buying price of the units for an investor.
NAVL	NetAssetValue	Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices.
CREA	Creation	Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher.
CANC	Cancellation	Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher.
INTE	Interim	Price is the non-official interim price given to an investor before the executed price.
SWNG	Swing	Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy.
MIDD	Mid	Price is the average price between the bid and offer prices.
RINV	Reinvestment	Price is the price used when reinvesting units after distribution.
SWIC	Switch	Price is the price used when transferring units between products.
DDVR	DailyDividendRate	Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day.
ACTU	Actual	True offer price.
NAUP	NonAdjustedUnpublished	The original NAV before the price of the investment fund was swung.
GUAR	Guaranteed	Price is a guaranteed price.
ENAV	EstimatedNAV	Price is an estimated net asset value per unit.

### 65.2.2.238 UKTaxGroupUnit1Code

*Definition:* Specifies the UK tax group to which units belong. For UK tax, the first dividend that an investor receives from a funds investment is deemed to be part income and part return of capital. The capital element is 'equalisation', and is exempt from income tax.

*Type:* CodeSet

CodeName	Name	Definition
GRP1	Group1	The units that were purchased prior to the last ex-div date.
GRP2	Group2	The units that were purchased since the ex-div date, and that benefit from the tax exemption.

### 65.2.2.239 ValuationTiming1Code

*Definition:* Specifies how the price valuation timing is done based on the timeline defined in the prospectus.

*Type:* CodeSet

CodeName	Name	Definition
EXCP	Exceptional	Price valuation is done exceptionally, outside the timeframe specified in the prospectus.
USUA	Usual	Price valuation is done within the timeframe specified in the prospectus.
PATC	Particular	Price valuation that is done outside the usual timeframe, but in conformance with a case specified in the prospectus, eg, market closing day.

### 65.2.2.240 WaivingInstruction1Code

*Definition:* Specifies the form of the rebate when commission is waived.

*Type:* CodeSet

CodeName	Name	Definition
WICA	WaiveInCash	Form of commission waived is cash.
WIUN	WaiveInUnits	Form of commission waived is additional units of a financial instrument.

## 65.2.3 Date

### 65.2.3.1 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

## 65.2.4 DateTime

### 65.2.4.1 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

## 65.2.5 IdentifierSet

### 65.2.5.1 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.

### 65.2.5.2 AnyBICIdentifier

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; AnyBICIdentifier

**Format**

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

**Constraints**

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

**65.2.5.3 AustrianBankleitzahlIdentifier**

*Definition:* Austrian Bankleitzahl. Identifies Austrian financial institutions on the Austrian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Oesterreichische NationalBank; Austrian Bankleitzahl

**Format**

pattern AT[0-9]{5,5}

**65.2.5.4 BelgianIdentifier**

*Definition:* Identifier for Belgian securities.

*Type:* IdentifierSet

*Identification scheme:* The Belgian identifier for securities.

**65.2.5.5 BICFIDec2014Identifier**

*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

**Format**

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

**Constraints**

- **BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

**65.2.5.6 BICFIIdentifier**

*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

**Format**

pattern [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}

**Constraints**

- **BICFI**

Valid BICs for financial institutions are registered by the ISO 9362 Registration Authority in the BIC directory, and consist of eight (8) or eleven (11) contiguous characters.

**65.2.5.7 Bloomberg2Identifier**

*Definition:* An identifier of a security assigned by the Bloomberg organisation.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

**Format**

pattern (BBG)[BCDFGHJKLMNPQRSTUVWXYZ\d]{8}\d

**65.2.5.8 BloombergIdentifier**

*Definition:* An identifier of a security assigned by the Bloomberg organisation.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

**Format**

minLength 1  
maxLength 35

**65.2.5.9 CanadianPaymentsARNIdentifier**

*Definition:* Canadian Payments Association Routing Number. Identifies Canadian financial institutions on the Canadian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Candian Payment Association; Payment Routing Number

**Format**

pattern CA[0-9]{9,9}

**65.2.5.10 CFIOct2015Identifier**

*Definition:* Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

*Type:* IdentifierSet

*Identification scheme:* ANNA; CFIIIdentifier



**Format**

pattern	[A-Z]{6,6}
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### 65.2.5.11 CHIPSParticipantIdentifier

*Definition:* (United States) Clearing House Interbank Payment System (CHIPS) Participant Identifier (ID). Identifies financial institutions participating on CHIPS. The CHIPS Participant ID is assigned by the New York Clearing House.

*Type:* IdentifierSet

*Identification scheme:* American Banker's Association (ABA); CHIPS Participant Number

**Format**

pattern	CP[0-9]{4,4}
---------	--------------

### 65.2.5.12 CHIPSUniversalIdentifier

*Definition:* (United States) Clearing House Interbank Payments System (CHIPS) Universal Identification (UID). Identifies entities that own accounts at CHIPS participating financial institutions, through which CHIPS payments are effected. The CHIPS UID is assigned by the New York Clearing House.

*Type:* IdentifierSet

*Identification scheme:* American Banker's Association (ABA); CHIPS UID

**Format**

pattern	CH[0-9]{6,6}
---------	--------------

### 65.2.5.13 ConsolidatedTapeAssociationIdentifier

*Definition:* Identifier of a security assigned by the Consolidated Tape Association.

*Type:* IdentifierSet

*Identification scheme:* CTAIdentifier; CTAIdentifier

**Format**

minLength	1
maxLength	35

### 65.2.5.14 CUSIPIdentifier

*Definition:* Committee on Uniform Securities and Identification Procedures (CUSIP). The standards body that created and maintains the securities classification system in the US. Non-US securities have a similar number called the CINS number.

*Type:* IdentifierSet

*Identification scheme:* Standards and Poor's CUSIP Service Bureau; CUSIPIdentifier

### 65.2.5.15 DutchIdentifier

*Definition:* Identifier for Dutch securities.

*Type:* IdentifierSet

*Identification scheme:* Dutch agency; DutchIdentifier

### 65.2.5.16 EuroclearClearstreamIdentifier

*Definition:* Identifier of securities issued in Luxembourg. The common code is a 9-digit code that replaces the CEDEL (Clearstream) and Euroclear codes.

*Type:* IdentifierSet

*Identification scheme:* Clearstream; EuroclearClearstreamIdentifier

#### Format

minLength	1
maxLength	12

### 65.2.5.17 ExtensiveBranchNetworkIdentifier

*Definition:* The extensive branch network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Type:* IdentifierSet

*Identification scheme:* Australian Payments Clearing Association (APCA); Australian BSB

#### Format

pattern	AU[0-9]{6,6}
---------	--------------

### 65.2.5.18 FedwireRoutingNumberIdentifier

*Definition:* Fedwire Routing Number. Identifies financial institutions, in the US, on the FedWire system. The routing number is assigned by the American Bankers Association (ABA).

*Type:* IdentifierSet

*Identification scheme:* US Federal Reserve Bank ; FedwireRoutingNumberIdentifier

#### Format

pattern	FW[0-9]{9,9}
---------	--------------

### 65.2.5.19 GermanBankleitzahlIdentifier

*Definition:* German Bankleitzahl. Identifies German financial institutions on the German national clearing systems.

*Type:* IdentifierSet

*Identification scheme:* Deutsche Bundesbank ; German Bankleitzahl

#### Format

pattern	BL[0-9]{8,8}
---------	--------------

### 65.2.5.20 HellenicBankIdentificationCodeIdentifier

*Definition:* Hellenic Bank Identification Code Identifier. Identifies Greek financial institutions on the Greek national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Hellenic Central Bank; Payment Routing Number

#### Format

pattern GR[0-9]{7,7}

### 65.2.5.21 HongKongBankIdentifier

*Definition:* Hong Kong Bank Code. Identifies Hong Kong financial institutions on the Hong Kong local clearing system.

*Type:* IdentifierSet

*Identification scheme:* Hong Kong Interbank Clearing Ltd (HKICL); Bank Code of Hong Kong

#### Format

pattern HK[0-9]{3,3}

### 65.2.5.22 IBAN2007Identifier

*Definition:* An identifier used internationally by financial institutions to uniquely identify the account of a customer at a financial institution, as described in the latest edition of the international standard ISO 13616: 2007 - "Banking and related financial services - International Bank Account Number (IBAN)".

*Type:* IdentifierSet

*Identification scheme:* National Banking Association; International Bank Account Number (ISO 13616)

#### Format

pattern [A-Z]{2,2}[0-9]{2,2}[a-zA-Z0-9]{1,30}

#### Constraints

- **IBAN**

A valid IBAN consists of all three of the following components: Country Code, check digits and BBAN.

### 65.2.5.23 IndianFinancialSystemCodeIdentifier

*Definition:* Indian Financial System Code Identifier. Identifies Indian financial institutions on the Indian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Indian Financial System; Payment Routing Number

#### Format

pattern IN[a-zA-Z0-9]{11,11}

### 65.2.5.24 IrishNSCIdentifier

*Definition:* Irish National Sorting Code. Identifies Irish financial institutions on the Irish national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Irish Payment Services Organisation (IPSO); Irish National Sort Code

#### Format

pattern IE[0-9]{6,6}

### 65.2.5.25 ISINIdentifier

*Definition:* International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

*Type:* IdentifierSet

*Identification scheme:* ANNA; ISINIdentifier

#### Format

pattern [A-Z0-9]{12,12}

### 65.2.5.26 ISINOct2015Identifier

*Definition:* International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

*Type:* IdentifierSet

*Identification scheme:* ANNA; ISINIdentifier

#### Format

pattern [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}

### 65.2.5.27 ItalianDomesticIdentifier

*Definition:* Italian Domestic Identification Code. Identifies Italian financial institutions on the Italian national clearing system. The code is assigned by the Associazione Bancaria Italiana (ABI).

*Type:* IdentifierSet

*Identification scheme:* Associazione Bancaria Italiana; Italian Domestic Identification

#### Format

pattern IT[0-9]{10,10}

### 65.2.5.28 LEIdentifier

*Definition:* Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Type:* IdentifierSet

*Identification scheme:* Global LEI System; LEIdentifier

#### Format

pattern [A-Z0-9]{18,18}[0-9]{2,2}

### 65.2.5.29 MICIdentifier

*Definition:* Market Identifier Code. The identification of a financial market, as stipulated in the norm ISO 10383 'Codes for exchanges and market identifications'.

*Type:* IdentifierSet

*Identification scheme:* SWIFT; MICIdentifier

#### Format

pattern [A-Z0-9]{4,4}

### 65.2.5.30 NewZealandNCCIdentifier

*Definition:* New Zealand Bank/Branch Code. Identifies New Zealand institutions on the New Zealand national clearing system. The code is assigned by the New Zealand Bankers' Association (NZBA).

*Type:* IdentifierSet

*Identification scheme:* New Zealand Bankers Association; NewZealandNCC

#### Format

pattern NZ[0-9]{6,6}

### 65.2.5.31 PolishNationalClearingCodeIdentifier

*Definition:* Polish National Clearing Code Identifier. Identifies Polish financial institutions on the Polish national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Polish Central Bank; Payment Routing Number

#### Format

pattern PL[0-9]{8,8}

### 65.2.5.32 PortugueseNCCIdentifier

*Definition:* Portuguese National Clearing Code. Identifies Portuguese financial institutions on the Portuguese national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Banco de Portugal; PortugueseNCC

**Format**

pattern	PT[0-9]{8,8}
---------	--------------

**65.2.5.33 QUICKIdentifier**

*Definition:* Identifier of a security assigned by the Japanese QUICK identification scheme for financial instruments.

*Type:* IdentifierSet

*Identification scheme:* QUICK; QUICKIdentifier

**65.2.5.34 RICIdentifier**

*Definition:* Reuters Identification Code (RIC). A numbering system used within the Reuters system to identify instruments worldwide. The RIC contains an X-character market specific code (can be the CUSIP or EPIC codes) followed by a full stop, then the two-digit ISO country code, for example, IBM in UK is IBM.UK.

*Type:* IdentifierSet

*Identification scheme:* REUTERS ; REUTERSIdentifier

**Format**

minLength	1
maxLength	35

**65.2.5.35 RussianCentralBankIdentificationCodeIdentifier**

*Definition:* Russian Central Bank Identification Code. Identifies Russian financial institutions on the Russian national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Central Bank of Russia; RussianCentralBankIdentificationCode

**Format**

pattern	RU[0-9]{9,9}
---------	--------------

**65.2.5.36 SEDOLIdentifier**

*Definition:* Stock Exchange Daily Official List (SEDOL) number. A code used by the London Stock Exchange to identify foreign stocks, especially those that aren't actively traded in the US and don't have a CUSIP number.

*Type:* IdentifierSet

*Identification scheme:* London Stock Exchange; SEDOLIdentifier

**65.2.5.37 SicovamIdentifier**

*Definition:* Identifier for French securities assigned by the Societe Interprofessionnelle Pour La Compensation des Valeurs Mobilières in France. The Sicovam is composed of 5-digits.

*Type:* IdentifierSet

*Identification scheme:* Sicovam; SicovamIdentifier

### 65.2.5.38 SmallNetworkIdentifier

*Definition:* The small network list of the Australian Bank State Branch (BSB) Code. The codes are used for identifying Australian financial institutions, as assigned by the Australian Payments Clearing Association (APCA).

*Type:* IdentifierSet

*Identification scheme:* Australian Payments Clearing Association (APCA); Australian BSB

#### Format

pattern AU[0-9]{6,6}

### 65.2.5.39 SouthAfricanNCCIdentifier

*Definition:* South African National Clearing Code (NCC). Identifies South African financial institutions on the South African national clearing system. The code is assigned by the South African Bankers Services Company Ltd. (BankServ).

*Type:* IdentifierSet

*Identification scheme:* South African Bankers Services Company Ltd (Bank Serv); South African National Clearing system Code

#### Format

pattern ZA[0-9]{6,6}

### 65.2.5.40 SpanishDomesticInterbankingIdentifier

*Definition:* Spanish Domestic Interbanking Code. Identifies Spanish financial institutions on the Spanish national clearing system. The code is assigned by the Centro de Cooperacion Interbancaria (CCI).

*Type:* IdentifierSet

*Identification scheme:* Centro de Cooperacion Interbancaria (CCI); Spanish Domestic Interbanking Identifier

#### Format

pattern ES[0-9]{8,9}

### 65.2.5.41 SwissBCIdentifier

*Definition:* Swiss Bank Code. Identifies Swiss institutions on the Swiss national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Swiss Interbank Clearing Ltd; BC Identifier

#### Format

pattern SW[0-9]{3,5}

### 65.2.5.42 SwissSICIdentifier

*Definition:* Swiss Interbank Clearing (SIC) Code. Identifies Swiss financial institutions domestically, on the Swiss national clearing system.

*Type:* IdentifierSet

*Identification scheme:* Swiss Interbank Clearing Ltd; SIC Identifier

#### Format

pattern	SW[0-9]{6,6}
---------	--------------

### 65.2.5.43 TickerIdentifier

*Definition:* Letters that identify a stock traded on a stock exchange. The Ticker Symbol is a short and convenient way of identifying a stock, for example, RTR.L for Reuters quoted in London.

*Type:* IdentifierSet

*Identification scheme:* Bloomberg; BloombergIdentifier

#### Format

minLength	1
maxLength	35

### 65.2.5.44 UKDomesticSortCodeIdentifier

*Definition:* United Kingdom (UK) Sort Code. Identifies British financial institutions on the British national clearing systems. The sort code is assigned by the Association for Payments and Clearing Services (APACS).

*Type:* IdentifierSet

*Identification scheme:* Association for Payment Clearing Services (APACS); UK Sort Code

#### Format

pattern	SC[0-9]{6,6}
---------	--------------

### 65.2.5.45 ValorenIdentifier

*Definition:* Identifier for Swiss securities assigned by Telekurs Financial, the Swiss numbering agency.

*Type:* IdentifierSet

*Identification scheme:* Valoren; ValorenIdentifier

### 65.2.5.46 WertpapierIdentifier

*Definition:* Wertpapier Kenn-nummer. A number issued in Germany by the Wertpapier Mitteilungen. The Wertpapier Kenn-nummer, sometimes called WPK, contains 6-digits, but no check digit. There are different ranges of numbers representing different classes of securities.

*Type:* IdentifierSet

*Identification scheme:* Wertpapier; WertpapierIdentifier

## 65.2.6 Indicator

### 65.2.6.1 PlusOrMinusIndicator

*Definition:* Indicates a positive or negative value.



*Type:* Indicator

*Meaning When True:* Plus

*Meaning When False:* Minus

### 65.2.6.2 YesNoIndicator

*Definition:* Indicates a "Yes" or "No" type of answer for an element.

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 65.2.7 Quantity

### 65.2.7.1 DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6.

*Type:* Quantity

#### Format

totalDigits	18
fractionDigits	17

### 65.2.7.2 Max1Number

*Definition:* Number (max 9) of objects represented as an integer.

*Type:* Quantity

#### Format

totalDigits	1
fractionDigits	0

### 65.2.7.3 Number

*Definition:* Number of objects represented as an integer.

*Type:* Quantity

#### Format

totalDigits	18
fractionDigits	0

## 65.2.8 Rate

### 65.2.8.1 BaseOneRate

*Definition:* Rate expressed as a decimal, for example, 0.7 is 7/10 and 70%.

*Type:* Rate

**Format**

totalDigits	11
fractionDigits	10
baseValue	1.0

### 65.2.8.2 PercentageBoundedRate

*Definition:* Rate expressed as a percentage, ie, in hundredths, eg, 0.7 is 7/10 of a percent, and 7.0 is 7%.

*Type:* Rate

**Format**

minInclusive	0
maxInclusive	100
totalDigits	11
fractionDigits	10
baseValue	100.0

### 65.2.8.3 PercentageRate

*Definition:* Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

*Type:* Rate

**Format**

totalDigits	11
fractionDigits	10
baseValue	100.0

## 65.2.9 Text

### 65.2.9.1 Exact4AlphaNumericText

*Definition:* Specifies an alphanumeric string with a length of 4 characters.

*Type:* Text

**Format**

pattern	[a-zA-Z0-9]{4}
---------	----------------

### 65.2.9.2 Extended350Code

*Definition:* Code and / or description for values that are not yet part of the related code list.

*Type:* Text

**Format**

minLength	1
maxLength	350

**65.2.9.3 Max10Text**

*Definition:* Specifies a character string with a maximum length of 10 characters.

*Type:* Text

**Format**

minLength	1
maxLength	10

**65.2.9.4 Max140Text**

*Definition:* Specifies a character string with a maximum length of 140 characters.

*Type:* Text

**Format**

minLength	1
maxLength	140

**65.2.9.5 Max16Text**

*Definition:* Specifies a character string with a maximum length of 16 characters.

*Type:* Text

**Format**

minLength	1
maxLength	16

**65.2.9.6 Max2048Text**

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text

**Format**

minLength	1
maxLength	2048

**65.2.9.7 Max256Text**

*Definition:* Specifies a character string with a maximum length of 256 characters.

*Type:* Text

**Format**

minLength	1
maxLength	256

**65.2.9.8 Max34Text**

*Definition:* Specifies a character string with a maximum length of 34 characters.

*Type:* Text

**Format**

minLength	1
maxLength	34

**65.2.9.9 Max350Text**

*Definition:* Specifies a character string with a maximum length of 350 characters.

*Type:* Text

**Format**

minLength	1
maxLength	350

**65.2.9.10 Max35Text**

*Definition:* Specifies a character string with a maximum length of 35 characters.

*Type:* Text

**Format**

minLength	1
maxLength	35

**65.2.9.11 Max3Text**

*Definition:* Specifies a character string with a maximum length of 3 characters.

*Type:* Text

**Format**

minLength	1
maxLength	3

**65.2.9.12 Max4AlphaNumericText**

*Definition:* Specifies an alphanumeric string with a maximum length of 4 characters.

*Type:* Text

**Format**

minLength	1
maxLength	4
pattern	[a-zA-Z0-9]{1,4}

### 65.2.9.13 Max5NumericText

*Definition:* Specifies a numeric string with a maximum length of 5 digits.

*Type:* Text

**Format**

pattern	[0-9]{1,5}
---------	------------

### 65.2.9.14 Max70Text

*Definition:* Specifies a character string with a maximum length of 70characters.

*Type:* Text

**Format**

minLength	1
maxLength	70

### 65.2.9.15 Max8Text

*Definition:* Specifies a character string with a maximum length of 8 characters.

*Type:* Text

**Format**

minLength	1
maxLength	8

### 65.2.9.16 PhoneNumber

*Definition:* The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+" and "-" (up to 30 characters).

*Type:* Text

**Format**

pattern	\+[0-9]{1,3}-[0-9()+-]{1,30}
---------	------------------------------

### 65.2.9.17 PreviousAll

*Definition:* Indicates that the investment plan issued during all the previous years have to be transferred.

Type: Text

**Format**

pattern

ALL

## 65.2.10 Time

### 65.2.10.1 ISOTime

*Definition:* A particular point in the progression of time in a calendar day expressed in either UTC time format (hh:mm:ss.sssZ), local time with UTC offset format (hh:mm:ss.sss+/-hh:mm), or local time format (hh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

00:00:00 = the beginning of a calendar day

24:00:00 = the end of a calendar day

2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

Type: Time

## 65.2.11 Year

### 65.2.11.1 ISOYear

*Definition:* Year represented by YYYY (ISO 8601).

Type: Year

## 65.2.12 YearMonth

### 65.2.12.1 ISOYearMonth

*Definition:* Month within a particular calendar year represented by YYYY-MM (ISO 8601).

Type: YearMonth